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ABSTRACT

This catalogue presents descriptions of innovative and noteworthy citizen participation processes in the Community Development Block Grant Program in 31 communities including 27 small, medium, and large cities, and four urban counties. Each description includes three sections: (1) a brief background on citizen participation in the community prior to the beginning of the program; (2) the procedures and structures used to implement citizen participation in the program; and (3) exemplary aspects of the citizen participation process. (Author/RE)

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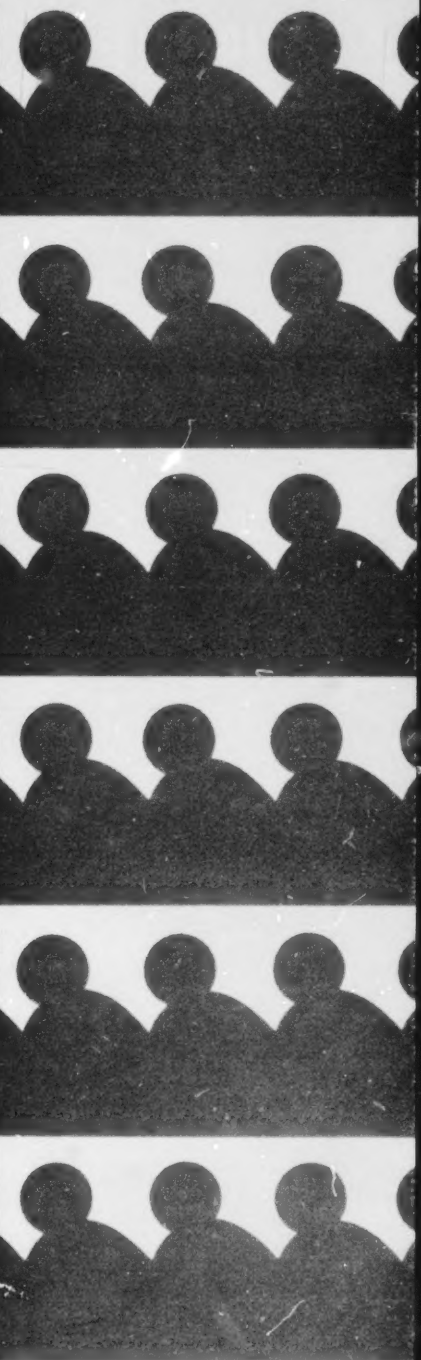
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CITIZEN PARTICIPATION IN COMMUNITY DEVELOPMENT:

A Catalog of Local Approaches

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A Catalog of Local Approaches

Prepared for:

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Prepared by:

**Lawrence Johnson & Associates, Inc.
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Hortense Dixon
Vice President for University
Relations, Texas Southern University
Houston, Texas

Davey L. Gibson
Commissioner, Department of
Community and Human Development
Atlanta, Georgia

Charles F. Lewis
Former Principal Community
Resources Officer
Birmingham, Alabama

Jesse Rattley
Vice Mayor
Newport News, Virginia

J. Willard Vann, Jr.
Operations Supervisor,
Community Development Department
Tulsa, Oklahoma

Terrence Duvernay
Chief Administrative Officer
New Orleans, Louisiana

Vickie Krecek
Manager, Division of
Neighborhood Improvement
Omaha, Nebraska

John N. Milberger
Grants Manager, Department of
Planning
Allegheny County, Pennsylvania

Gary Stout
Director, Department of Planning
and Economic Development
St. Paul, Minnesota

Warren Widener
Mayor
Berkeley, California

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Dr. Rudolph V. Wiggins
Project Manager

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HOW TO USE THE CATALOG

What are you looking for when you read this catalog? Are you a local elected or appointed official who works in the area of housing or community development? Are you a citizen who is, or would like to become involved in improving your neighborhood or community? If your community receives Community Development Block Grant (CDBG) funds and you are either a local official or a citizen who would like to work with other citizens to improve your community, then this catalog was written with you in mind.

This catalog presents descriptions of innovative and noteworthy citizen participation processes in the CDBG Program in 31 communities (27 cities and four counties). Each description includes three sections: a brief background on citizen participation in the community prior to the beginning of the CDBG Program; the procedures and structures used to implement citizen participation in the program; and exemplary aspects of the citizen participation process.

The presentation of the descriptions in this catalog is intended to help local officials involve citizens in the allocation, implementation and monitoring of federal CDBG funds in their communities. It is also intended to help citizens and citizen organizations take an active role in improving their neighborhoods and communities. Thus, the catalog is primarily intended for those involved at the local level (local officials and citizens) in implementing the CDBG Program.

The descriptions of citizen participation processes in the 27 cities are organized on the basis of population size. They are organized by size because one of the first questions we expect local officials and citizens to ask is "How have other communities our size planned and implemented a citizen participation process?"

However, in organizing the catalog by population size, we are not suggesting that it is the only factor or even the most important factor in planning or modifying a citizen participation process. As the descriptions illustrate, there are a variety of factors to consider in developing an effective citizen participation process.

The four counties are grouped together because counties often encounter special problems in carrying out citizen participation, particularly those of conducting processes in large geographic areas and through other local jurisdictions which have their own elected officials.

The catalog may be used in any of several ways depending on your needs. It may be read in its entirety from beginning to end, or it may be read selectively, picking one or several of the self-contained descriptions. You can read about citizen participation processes in communities about the size of yours. You may also want to read about communities slightly larger or smaller than your own. Or, you may wish to read parts of several descriptions consecutively, for example the "Procedures and Structures" ... section or the "Exemplary Aspects" ... section. If you are interested in a particular feature or technique used in citizen participation in these communities, you may want to refer either to the tables in the introduction or to the index at the back of the catalog. The tables and index indicate where particular topics, such as neighborhood organizations, are discussed in the catalog.

However, we offer a word of caution. As the researchers discovered in their fieldwork, both the communities themselves and the processes they have developed differ substantially. Some processes have a structure and a logic unique to themselves. Therefore, we recommend that any particular description be read in its entirety.

INTRODUCTION

This catalog describes exemplary or innovative citizen participation processes in 31 communities (27 cities and four counties) in the Community Development Block Grant Program. Exemplary processes are those which are noteworthy in part or in whole and which other communities may wish to emulate. The descriptions present a variety of strategies and techniques which can be used by communities wishing to begin or improve a citizen participation process. It is intended as a sourcebook of ideas about citizen participation for elected officials, administrators and citizen and neighborhood organizations.

The citizen participation processes described here share a common feature. However, the procedures and structures used in these processes and the way they were established vary widely. Each community has its own experience with federal programs; its own social, economic, and political history; and its own community development problems. This has usually presented local communities with a unique combination of factors in adapting a citizen participation process to their own needs and situation. Yet each city or county whose process is described here has had to approach the development of citizen participation processes by asking similar or identical questions. What citizen participation mechanisms currently exist? What groups and interests should we incorporate into the process? Should we organize the process at the neighborhood, district or city-wide level, or some combination of these? How should we certify neighborhood organizations and define neighborhood boundaries? Should we establish a community-wide advisory committee? If so, how should we design it, select its members and define their responsibilities? How should we constitute it and for what period of time? Thirty-one attempts at answering these questions are described in this catalog.

Citizen Participation in the Community Development Block Grant Program

The Housing and Community Development Acts of 1974 and 1977 and the HUD regulations elaborating them established a federal commitment of encouraging local citizen involvement in the CDBG Program. The 1974 Act required that all communities which applied for CDBG funds under Title I of the Act: (1) provide citizens with adequate information concerning the amount of funds available, the range of community development activities that may be undertaken and other important program requirements, (2) hold public hearings to obtain the views of citizens on community development and housing needs and, (3) provide citizens with an adequate opportunity to participate in the program.

When Congress renewed the Act three years later it restated these requirements and in addition asked communities to prepare and follow a written citizen participation plan which provides citizens with an opportunity to participate in the development of the application and to submit their views and proposals. It also required that communities provide citizens an opportunity to comment on their community's performance. These requirements specified that processes particularly encourage participation by residents of blighted neighborhoods, minorities and citizens of low- and moderate-income. HUD regulations implementing this law provide more specific requirements for communities to follow.

The federal requirements for citizen participation in the CDBG Program do not remove the responsibility of the CDBG Program from local elected officials. Rather, citizens are given the opportunity to play an advisory role in planning, implementing, and assessing the CDBG Program in their communities.

This catalog and the citizen participation requirements of the CDBG Program are based on the proposition that rebuilding urban areas and preserving and revitalizing urban communities requires the advice and commitment of citizens. The involvement of residents and other citizens in planning and implementing community development projects is an essential step in creating cities responsive to the needs of the people who live in them and who depend on them for basic services. Citizen participation processes are one avenue for citizens to use to improve their environments.

The costs of not involving citizens in the decisions affecting their communities may be high and not immediately apparent. While not as easily measurable as the cost of construction delays, the absence of citizen commitment to their communities is expensive to everyone. Citizens need sufficient information and assistance to understand the complexity of important decisions facing them. However, they must also retain enough independence to truly reflect citizen rather than city points of view.

HUD's citizen participation rules encourage cooperative working relationships between city officials and citizens. Local residents, particularly those low- and moderate-income and minority residents whom the CDBG Program was intended to benefit, can add considerable knowledge and perspective to that of locally elected and appointed officials. Furthermore, if residents are involved in designing programs for improving their communities, it is more likely that projects and strategies will meet the needs of both citizens and city officials.

However, citizen involvement is not without its pitfalls. An effective citizen participation process requires major commitments from local public

officials, from staff members and from citizens. It costs both time and money. Citizen involvement can mean delays in implementing projects. If citizen review is required at every stage of planning and development, it can be costly and time consuming.

As you read these descriptions you will see that there is no single best citizen participation process, nor is there any best strategy to plan and implement citizen participation. For this reason, a variety of exemplary strategies have been included in the catalog from many different types of communities.

Issues in Citizen Participation

While this catalog is intended to provide practical information to users, it is helpful to pinpoint the issues that arise in the descriptions within the more general theoretical framework that has appeared in the recent literature on citizen participation. A frequent distinction made in the literature is between citizen action (conflict-oriented, grass-roots political participation) and citizen participation. Many of the participation mechanisms presented in the catalog fall into the latter category and have been well integrated into the administrative structure of the local government. It is important to note, however, that CDBG citizen participation has commonly evolved from citizen action. Readers will find, by referring to the background section of the descriptions, that citizens in many cases initially mobilized against highway or urban renewal projects that posed a threat to their communities.

If citizen involvement in community development has frequently followed a course from conflict to cooperation, the question of cooptation arises. Sherry Arnstein's well-known framework for citizen participation, first published in *The Journal of the American Institute for Planners*, June, 1969, presents a ladder that rises from "nonparticipation" to "tokenism" to "citizen power." The descriptions presented in this catalog indicate that cooperation between citizens, staff and elected officials does not necessarily imply cooptation or tokenism. The descriptions suggest that the integration of citizen advisory bodies into the local government administrative structure need not compromise the independence and integrity of citizens. Moreover, such integration has, in some of the communities described here, led to citizen power.

Perhaps the most hotly debated issue in citizen participation has been the question of who participates. The literature on political participation has consistently indicated that low- and moderate-income residents are less apt to participate than medium- and high-income residents. A variety of theories have been proposed to account for such findings though no definitive interpretation has been accepted. The experience of the communities considered in this catalog reveals, however, that low- and moderate-income people are likely to participate when they

are given an adequate opportunity to do so. When provided with essential resources such as technical and organizational support, and the assurance that their participation is meaningful, the involvement of these residents is significantly strengthened.

Communities in this Catalog

The cities and counties presented in the catalog have implemented particularly innovative citizen participation processes. They were chosen (by a User Advisory Group of local officials) from among those who responded to a solicitation mailing, to general publicity about this project, or who were identified for consideration by persons active in citizen participation. These citizen participation processes were therefore not necessarily considered the best nor the only noteworthy ones. A more complete discussion of the methodology for the selection of the communities and for the collection of the data appears in Appendix C.

Because the information about each program was collected between December, 1977 and April, 1978, some of the citizen participation processes described in the catalog may not satisfy regulations published by the Department of Housing and Urban Development. The inclusion of a community in this catalog, therefore, is not an endorsement by HUD of the community's citizen participation process.

Citizen Participation Structures in this Catalog

In order to implement citizen participation, the communities described in the catalog developed strategies for hearing and incorporating citizen ideas and opinions. The 31 communities in the catalog vary substantially in their structural components, both in the level at which the structures are organized (community-wide, district, and neighborhood) and in the lines and scope of responsibility among the various levels. Table 1 presents the levels of organization for citizen participation and the formal linkages between those levels for the 27 cities. Table 5 presents the levels of organization and their composition for the four counties.

Community-Wide Committees

Community-wide committees were sometimes the only formal citizen participation mechanism in the community. This was so in Cambridge and Jefferson County. However, in Cincinnati and Newton, city-wide committees were only one of several parts of the citizen participation structure. Birmingham and Wilmington are examples of communities which had city-wide committees with representation from neighborhoods or other sub-areas.

City-wide committees in North Wilkesboro and

Table 1
CHARACTERISTICS OF
CITIZEN PARTICIPATION
STRUCTURES

		Allentown, PA	Anchorage, AK	Asheville, NC	Atlanta, GA	Baltimore, MD	Birmingham, AL	Buffalo, NY	Cambridge, MA	Cincinnati, OH	Des Moines, IA	Flint, MI	Fond du Lac, WI	Fresno, CA	Jacksonville, FL	Kansas City, KS	Lincoln, NE	Newton, MA	North Wilkesboro, NC	Oakland, CA	Omaha, NE	Saint Paul, MN	Salem, OR	Spokane, WA	Tacoma, WA	Washington, NC	Wilmington, NC	Winooski, VT
Levels of organization of citizen participation	Neighborhood	✓	✓	✓	✓	✓	✓		✓	✓	✓	1		✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓		✓		
	Intermediate			✓	✓	✓	✓						✓							✓	✓	✓	✓	✓		✓		
	City	✓				✓		✓	✓	✓	✓		✓	✓	✓	✓	✓	✓		✓		✓	✓	✓	✓	✓	✓	
Formal linkages between levels of citizen participation		✓		✓		✓	✓			✓	✓		✓		✓	✓				✓						2		

¹ Although Fond du Lac has no ongoing citizen's body, several city-wide public hearings using the nominal group process were held to stimulate comments from citizens.

² Intermediate and city-wide citizen's organizations are formally linked in Wilmington, but neighborhood level bodies are not.

Table 2¹
CHARACTERISTICS OF
CITY-LEVEL BODIES

	Allentown, PA	Birmingham, AL	Cambridge, MA	Cincinnati, OH	Des Moines, IA	Flint, MI	Fond du Lac, WI	Fresno, CA	Jacksonville, FL	Lincoln, NE	Newton, MA	North Wilkesboro, NC	Oakland, CA	St. Paul, MN	Spokane, WA	Tacoma, WA	Washington, NC	Wilmington, NC	Winooski, VT
Members of city-level body are:																			
Elected	✓	✓		✓			✓	✓	✓				✓				✓		
Appointed			✓	✓	✓		✓	✓	✓	✓	✓	✓	✓	✓	✓	✓			
Other			✓		✓	✓												✓	
City-level body is composed of members from:																			
Neighborhood organizations or other subunits	✓	✓	✓	✓	✓			✓	✓		✓		✓				✓		
At large or non-neighborhood organizations			✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓		
Other																		✓	
City-level staff provides to city-level bodies:																			
Technical Assistance	✓	✓	✓	✓	✓		✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Organizational Assistance	✓	✓		✓	✓		✓	✓	✓				✓	✓	✓		✓	✓	✓
Clerical Assistance	✓		✓	✓	✓		✓	✓		✓	✓			✓			✓	✓	✓
Target area residents represented on the city-level body	✓	✓		✓	✓		✓	✓	✓				✓	✓	✓	✓	✓	✓	✓
City level body:																			
Formulates or reviews specific CDBG project proposals			✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Advises on general CDBG policy	✓	✓	✓	✓	✓		✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Has a formal or informal role in monitoring or implementing	✓	✓	✓	✓	✓		✓		✓		✓	✓	✓	✓				✓	
Has a role in activities other than CDBG	✓	✓		✓		✓	✓			✓	✓		✓	✓	✓			✓	

¹ City-level bodies existed only in those cities listed in this section.

² Although Fond du Lac has no ongoing citizen's body, several city-wide public meetings using the nominal group process were held to stimulate comments from citizens.

NEIGHBORHOOD ORGANIZATIONS¹

³ Target areas are those where substantial amounts of CDBG funds are concentrated.

Tacoma were appointed by elected officials. Some community-wide committees included both elected and appointed members such as Des Moines and Jacksonville. City-wide committees containing representation from all city neighborhoods were established in Flint and St. Paul. Dade County had community-wide committees with neighborhood representation only from target neighborhoods. Table 2 presents several important features of citizen participation processes which include formal organization at the city level. The same information for counties is presented in Table 5.

Neighborhood-Based Structures

Many communities developed a citizen participation process based on advice and recommendations from neighborhood organizations. In some cities, neighborhood groups provided the only formal citizen involvement in the CDBG Program. Baltimore and Omaha had only neighborhood-based structures. Many neighborhood-based structures also had city-wide review committees. Anchorage and Oakland illustrate two different approaches to this type of structure.

Most neighborhood-based groups elected their own members and officers. The mayor of Newton appointed members to neighborhood advisory committees. City-wide elections were held in Birmingham. Neighborhood-based elections were held in Buffalo and Dade County, among others. In some neighborhood organizations voting on CDBG matters was restricted to members of an elected board or to officers; in others, membership and voting were open to anyone who attended meetings. Important features of neighborhood organizations are presented for cities in Table 3 and for counties in Table 5.

District Organizations

Some communities organized their neighborhood-based mechanisms for formal participation in areas larger than individual neighborhoods. These larger areas, called districts, assemblies, or neighborhood planning units, were either another layer of citizen participation or simply an aggregation of the neighborhoods in the district. In St. Paul the district organizations were predominant. In Atlanta the neighborhood groups, many of which predated the district organizations, played an important role along with the district organizations. Table 4 presents the features of district (or intermediate level) structures or parts of structures for those cities that established them. Table 5 presents similar information for counties.

Relationship Among Tiers of Participation Structures

The relationship among the levels of

organization in the communities in the catalog also varied. In some communities, the neighborhood or local groups named representatives to a district-wide group, which sent representatives to a city- or county-wide body. This three-tiered structure was used in Birmingham and Madison County. In Allentown and Lincoln only two tiers existed. In some of these multitiered approaches, the layers of citizen participation were not integrated; neighborhood and city-wide groups operated independently of each other. In others, neighborhood advice was funneled directly to the city-wide group.

Use of Existing Organizations

The state of existing citizen and neighborhood organizations in the community at the beginning of the CDBG Program was an important factor for communities in developing a citizen participation strategy. Each local jurisdiction had to assess the organizations or institutions which already existed and decide how to build upon or modify them. In some communities, for example Asheville, officials decided not to use them at all. Many cities and counties began community-wide organizations for the express purpose of providing citizen opinions on the Community Development Block Grant Program. Fresno and North Wilkesboro illustrate this approach. In Kansas City and Salem, the city government helped develop neighborhood organizations which advise the city. In Cambridge, existing civic organizations were incorporated into the citizen participation process. Existing neighborhood-based organizations were included in the process in Baltimore and Des Moines. Some communities hired organizations outside city government to either develop the citizen participation program or to implement it. In some places, where residents were skeptical of the city's commitment to meaningful participation, an outside group with special skills was used to gain citizen trust. Some consultants had communications and group process skills which the city government lacked. In a few cases they had an initial credibility with citizens which city officials did not. Washington, North Carolina and Spokane hired outside organizations to develop their citizen participation processes. Spokane retained their consultant to implement citizen participation.

Resources for Citizen Participation

Localities chose to devote different levels and types of resources to their citizen participation programs. Citizen participation costs were not always a separate item in CDBG budgets, and often staff members' time was devoted to many tasks, including citizen participation. Therefore, the total cost to a community of implementing a citizen participation process is not addressed in the catalog.

Some communities allocated money directly to their advisory groups. Neighborhood groups in

Table 4
CHARACTERISTICS OF
INTERMEDIATE LEVEL
BODIES¹

	Atlanta, GA	Birmingham, AL	Buffalo, NY	Fresno, CA	Saint Paul, MN	Wilmington, NC
Intermediate level body has a formal role in CDBG	✓	✓	✓	✓	✓	✓
Intermediate level body was organized <i>before</i> CDBG						
Intermediate level body was organized for reasons <i>other</i> than CDBG	✓		✓			
Intermediate level bodies are:						
Elected	✓	✓	✓	✓	✓	✓
Appointed						
Composition of Intermediate level body:						
Neighborhood Representatives	✓	✓	✓	✓	✓	✓
At Large	✓		✓	✓	✓	✓
City staff provides to intermediate level body:						
Technical Assistance	✓	✓	✓	✓	✓	✓
Organizational Assistance	✓	✓	✓	✓	✓	✓
Clerical Assistance	✓	✓	✓	✓	✓	✓
Intermediate level bodies:						
Formally submit or review specific CDBG proposals	✓	✓	✓	✓	✓	✓
Formally advise on general CDBG policy	✓	✓	✓	✓	✓	✓
Formally or informally have a role in monitoring and implementing CDBG projects	✓	✓	✓	✓	✓	✓
Have a role in activities other than CDBG	✓	✓	✓	✓	✓	✓

¹Intermediate level bodies existed only in those cities listed in this section.

Table 5
CHARACTERISTICS OF CITIZEN PARTICIPATION
IN URBAN COUNTIES

	Dade County, FL	Jefferson County, KY	King County, WA	Madison County, IL
Citizen participation is organized at the:				
County Level	✓	✓	✓	✓
Intermediate level			✓	✓
Community level			✓	✓
Neighborhood level:	✓			
Scope of responsibilities of citizen advisory groups:				
Citizens formulate or review CDBG project proposals	✓	✓		✓
Citizens advise on general CDBG policy	✓	✓	✓	✓
Citizens are active in monitoring or implementation	✓	✓		
Citizen bodies are active in non-CDBG activities		✓		
Staff Assistance:				
Citizens receive technical assistance	✓	✓	✓	✓
Citizens receive organizational assistance	✓	✓		
Citizens receive clerical assistance				

Table 6
TECHNIQUES USED TO ENCOURAGE
CITIZEN PARTICIPATION¹

Table 6																																
TECHNIQUES USED TO ENCOURAGE CITIZEN PARTICIPATION ¹																																
		Allentown, PA	Anchorage, AK	Asheville, NC	Atlanta, GA	Baltimore, MD	Birmingham, AL	Buffalo, NY	Cambridge, MA	Cincinnati, OH	Dade County, FL	Des Moines, IA	Flint, MI	Fond du Lac, WI	Fresno, CA	Jacksonville, FL	Jefferson County, KY	Kansas City, KS	King County, WA	Lincoln, NE	Madison County, IL	Newton, MA	North Wilkesboro, NC	Oakland, CA	Omaha, NE	Saint Paul, MN	Salem, OR	Spokane, WA	Tacoma, WA	Washington, NC	Wilmington, NC	Winooski, VT
Bilingual Information ²																																
Mailing Flyers ³																																
Radio																																
Television																																
Film or Slide Show																																
Newsletter																																
Proposal Form ⁴																																
Surveys ⁵																																

¹ Techniques noted in this chart are not necessarily included in catalog descriptions and have not always been used in an exemplary or innovative manner.

² Substantial bilingual information made available.

³ High volume mailings of flyers.

⁴ Proposal form required for citizen initiated proposals.

⁵ Attitudinal surveys used in CDBG.

Buffalo and Baltimore received funds to help formulate projects and to directly supervise and implement programs. In St. Paul, neighborhood groups received funds for staff and incidental expenses. These neighborhood groups had staff which allowed them to be more active in the citizen participation process.

Involvement in Issues Other than CDBG

Some local governments looked upon federal requirements for citizen participation in the CDBG Program as an opportunity to create interest in other local issues. In many communities, including Kansas City, Kansas, and Washington, North Carolina, citizen advisory committees and neighborhoods expanded their activities to include additional issues such as budgeting, capital improvement, zoning and planning.

Citizen Participation Techniques in this Catalog

In order to implement their CDBG strategies, many communities developed innovative techniques to facilitate the involvement of citizens.

Information on CDBG in these Communities

Providing information to the general public and to participants in the CDBG process is a major activity. In order to get residents involved in the process they must learn of its existence. Dade County and Fond du Lac had innovative methods to conduct publicity campaigns. Jefferson County operated a hot line for citizens to get answers to community development problems; Flint and Des Moines prepared a slide show on CDBG; Jacksonville produced a film; and officials in Buffalo, Tacoma and several other cities appeared on television to discuss the CDBG Program. Dade County undertook extensive efforts to produce bilingual material.

Flint and Tacoma provided innovative methods of

training citizen participants in the elements of the CDBG Program. Training of participants has helped them to become skilled in the CDBG Program.

Information on the status of CDBG expenditures and projects is essential to any assessment of the program. Comprehensive monitoring information was provided to citizens in Dade County and St. Paul. Jefferson County provided monitoring reports to citizens from various departments. Kansas City provided monthly status reports on projects to participants. Table 6 summarizes many of the techniques employed by the communities in the catalog.

Staff

The relationship between city staff and citizen organizations varied significantly from community to community. In some cities and counties, staff helped citizens prepare proposals, understand regulations, and develop and implement projects. Omaha and Tacoma provided such technical assistance. In Buffalo and Cincinnati, city staff gave organizational support to citizens. In several communities, staff provided clerical support to citizen groups. In Buffalo and Des Moines, neighborhood participants had a major role in selecting city staff members to help them. In Buffalo, Newton, and St. Paul, community groups selected their own staff members or consultants. The types of assistance given by staff in all communities in the catalog are highlighted in Tables 2, 3, 4, and 5.

Miscellaneous

Meetings were conducted in a creative manner in Cambridge and Fond du Lac. Jefferson County, King County, and Newton conducted citizen attitude surveys. Anchorage, Kansas City, and Wilmington adopted unique approaches to define neighborhood boundaries.

**Citizen Participation
in Cities of Over 250,000**

ATLANTA
GEORGIA

BALTIMORE
MARYLAND

BIRMINGHAM
ALABAMA

BUFFALO
NEW YORK

CINCINNATI
OHIO

JACKSONVILLE
FLORIDA

OAKLAND
CALIFORNIA

OMAHA
NEBRASKA

ST. PAUL
MINNESOTA

Reader's Note: Sources for data which appear on the initial page of each description can be found in Appendix C.

ATLANTA

Northwest Georgia

Location

Population: 497,000
52% nonwhite
Median income: \$8,399
8.2% unemployed
16% below poverty level

Community
Socioeconomic
Profile

Mayor-Council. Eighteen member council elected in nonpartisan elections. Twelve elected on a district basis and six at large. Mayor elected directly.

Form of
Government

Urban Renewal, Neighborhood Development Program, Model Cities, Water and Sewer, Open Space, Neighborhood Facilities

Previous Federal
CD Grants

4th year: \$13,927,000
3rd year: \$16,377,000
2nd year: \$17,578,000

CDBG Funding

Department of Community and Human Development
Mr. Davey Gibson, Commissioner
100 Mitchell Street, S.W.
Atlanta, Georgia 30303
(404) 658-6797

CDBG Program
Administered by

GEORGIA

Atlanta developed a neighborhood-based planning process which built on the interest of city neighborhoods to gain control over their own development. Citizen planning committees were organized which develop long-range comprehensive plans for their neighborhoods. These committees also submit proposals for CDBG projects.

BACKGROUND OF CITIZEN PARTICIPATION IN ATLANTA

Atlanta's process for citizen participation can be viewed as the culmination of ten years of experience with the neighborhood groups which emerged from an anti-highway fight, the Community Action Program, and the Model Cities program.

In the late Sixties, the planned extension of an interstate highway through stable neighborhoods became the focus of neighborhood opposition in a city which saw 15 percent of its population (67,000 people) displaced by urban renewal and highway building projects. The highway proposal led to the development of strong neighborhood groups opposing the routing, as well as clearance and building activities of the State Department of Transportation. The Atlanta Coalition on the Transportation Crisis, a network of neighborhood groups, helped stop the highway and supported the development of a regional mass transit system while it heightened the city's awareness of the issues of neighborhood preservation. In Inman Park, the fight, coupled with a new interest among middle-income people to reside in inner-city communities, led to a strong neighborhood organization. The neighborhood pressured Atlanta banks for mortgage and home-improvement money, established a credit union, and restored homes in what was previously a declining neighborhood. The ongoing City-wide League of Neighborhoods grew out of the highway issue and acts as a citizens' lobby in Atlanta.

Equal Opportunity Atlanta, the Community Action Agency, began in the mid-Sixties and continues today. Citizen participation in Equal Opportunity Atlanta programs such as employment, day care, and social services comes from block clubs, neighborhood advisory councils, and a central advisory council. Citizen participation in the Model Cities program also operated on a block, neighborhood and area basis. The citizen participation component was elaborate and unwieldy; 77 overlapping committees operated in the Model Cities neighborhoods at one time.

An impetus for the formation of strong neighborhood groups came from the State's rewriting of the Atlanta City Charter in January, 1974. The former "weak mayor" form of government with aldermen elected on a city-wide basis was replaced by a "strong mayor" system with city council members elected on a district basis as well as from paired districts. The Charter prompted a massive reorganization of city

government. The Charter required that the Department of Budget and Planning prepare a one-, five-, and fifteen-year comprehensive development plan on a city-wide and geographic subarea basis. Citizens were to be given an opportunity for involvement in the planning process.

In August, 1974, the city determined the details of the neighborhood-based planning process by passing the Neighborhood Planning Ordinance. Eight months of disputes on the configuration of neighborhoods and Neighborhood Planning Unit boundaries followed. The disagreements over the Neighborhood Planning Unit boundaries centered on whether the boundaries should conform to the council district boundaries, which often divided neighborhoods into several fragments. Finally, in April, 1975, a decision was made to base the boundaries on natural and historical neighborhood boundaries as much as possible. That decision established 24 Neighborhood Planning Units, which included 180 neighborhoods.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

Citizen participation in the Community Development Block Grant Program began in the midst of the reorganization of city government. In the first year of CDBG funding, the Department of Community and Human Development held briefing sessions for citizens in all four quadrants of the city to provide information on the CDBG Program. Meetings were also held with neighborhood groups to assist them in developing proposals. Formal public hearings were held in conjunction with the city council development committee after the CDBG budget was written. By the second year, with the Neighborhood Planning Unit boundaries established, the Department of Community and Human Development held 13 public meetings in Neighborhood Planning Units. The department made presentations of community development plans at these meetings and asked for comments. Several months later, the department held a public hearing on the final CDBG application; two weeks later, the city council development committee held hearings to hear citizen comments on the application.

By the third year of CDBG, Neighborhood Planning Committees had begun to write neighborhood plans. The chief neighborhood planner was present at CDBG budget meetings, and programs based on neighborhood priorities which surfaced during the neighborhood planning process were often included in the CDBG budget. Neighborhood plans were not completed, however, so citizen input from Neighborhood Planning Units was not extensive or comprehensive. Public hearings were held to receive comments on the draft CDBG plan.

During fourth-year CDBG planning, the Department of Community and Human Development took neighborhood comprehensive

development plans into consideration. Neighborhood Planning Committees were required to submit proposals for CDBG money either at public hearings or directly to the staff. The department provided technical assistance on request to neighborhood groups submitting proposals. A department staff person occasionally attended Neighborhood Planning Committee meetings.

When a proposal is submitted to the Department of Community and Human Development, it is circulated to the bureau in the city government which would have the responsibility for implementing it. For example, if a Neighborhood Planning Committee or an individual citizen submits a proposal to make repairs in a local park, the Department of Community and Human Development sends the request to the Bureau of Parks and Recreation. This bureau then evaluates the proposal and makes a recommendation whether to include the project in the CDBG budget. Neighborhood groups do not have to submit a formal proposal or budget. Projects are discussed on the basis of a general description provided by citizens. If the department decides to fund the project, it is fully developed by the appropriate bureau.

Citizen involvement in developing the CDBG application was fragmented during the first, second, and third years. While many briefings, meetings, and hearings were held all over the city, no consistent involvement of citizens in the preparation of the application occurred. In part, this was due to the fact that the city government was in the process of reorganizing. In addition, neighborhood plans were not yet written.

Furthermore, citizens in Atlanta have had no role in the implementation, monitoring, or evaluation of programs funded by CDBG. The city does not provide citizens with any regular monitoring information on CDBG activities that were budgeted or undertaken. Delays in implementing some of Atlanta's CDBG projects contributed to the frustration of neighborhood groups in their attempts to revitalize communities. Some citizens feel that their neighborhood groups could implement some programs and effectively monitor the implementation of others.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN ATLANTA

Neighborhood Planning Process

Neighborhood planning in Atlanta is directly tied to long-range comprehensive planning as well as to the budgetary process. The City Charter requires citizen involvement in writing a comprehensive development plan, updated annually, on which to base the operations of city government. The neighborhood plans, developed by Neighborhood Planning Committees in Neighborhood Planning Units, are essentially five-year land use and capital improvements plans

which together form the comprehensive plan.

Neighborhood Planning Committees were organized soon after boundary disputes were resolved in 1975. Some city council members helped the committees in their districts get started. Committees are organized in several ways, depending upon the desires of area residents. Some are a federation of representatives of several neighborhood groups which existed before the enactment of the Neighborhood Planning Ordinance. Others operate as "town meetings" at which anyone who lives, works, owns property, or operates a business in the neighborhood can vote.

Each committee's major responsibility is to write a plan in a standardized format with the assistance of neighborhood planners from the Bureau of Planning. Neighborhood plans address such issues as land use, parks and recreation, transportation, and economic development. The various components of all the neighborhood plans are then disaggregated. For instance, all traffic proposals in the plans are sent to the Department of Environment and Streets; all parks proposals are sent to the Bureau of Parks and Recreation. The comments of the departments are considered, the plans are joined together, and the Bureau of Planning reconciles the differences between the 24 plans and city-wide considerations. After the reconciliation process, each Neighborhood Planning Committee reviews its plan.

The neighborhood and the comprehensive development plans are adopted by the city council after a public hearing. The plans become the legal guide for growth and development of the neighborhoods and the city. No planning commission exists in Atlanta; the Neighborhood Planning Committees function as a planning commission.

Implementation of plans is assured through the budgetary process. According to the planners, neighborhood groups are not supposed to be concerned with individual sources of funding, such as CDBG, but rather with neighborhood needs which can be met by any funding source. The mayor has been supportive of the neighborhood planning process and has directed city departments to make every effort to incorporate projects proposed in the neighborhood plans into departmental priorities.

Neighborhood groups predating the establishment of Neighborhood Planning Committees continue to operate individually in addition to the role they play in their committees. Loyalties of committee members to their neighborhood organizations remain strong. Some neighborhood organizations feel that the Neighborhood Planning Committees might become the predominant neighborhood organizations in the city.

Neighborhood Planning Units operate independently of each other. There is no mechanism for developing compromises among them or for bargaining over issues such as the location of undesirable but necessary projects, traffic routing, or community facilities. Likewise, no city-wide group pressures the city council or the

mayor for across-the-board changes in policy or procedures. Because no city-wide group exists, it is difficult to get efficient citizen input on city-wide matters.

Representativeness

The Neighborhood Planning Committees are usually representative of their neighborhoods. Committees are active in all but the wealthiest areas of the city. Some Neighborhood Planning Committees are more sophisticated than others and have more influence in the political arena. However, the existence of staff assistance on a regular basis helps to correct these disparities. In addition, a newly created Community Design Center will help less sophisticated neighborhoods develop detailed project plans.

Budgeting and Planning

The format of neighborhood plans is standardized and coded to the items in the program budget which Atlanta prepares yearly. As such, it is easy to compare those projects which were planned with those which were budgeted. Because planning is so closely tied to budgeting, neighborhood plans are really "action" plans rather than documents which will be filed away without any impact on the direction of city policy.

Opportunities for Leadership Development

The Atlanta neighborhood organizations were extraordinarily successful in building leaders for the city. In fact, the membership of the Atlanta City Council was altered significantly by the existence of strong neighborhood groups. In 1977, seven

new council members were elected, five of whom were active in neighborhood organizations. While most of the political opposition to incumbent city council members stemmed from neighborhood groups rather than city-organized Neighborhood Planning Committees, the development of strong neighborhoods has been facilitated by the neighborhood planning process and has spawned a new balance between city-wide and neighborhood interests.

Public Information

All neighborhood plans are printed and distributed widely. In addition, the Bureau of Planning prints a monthly newsletter of neighborhood events. Neighborhood Planning Committee meetings are listed in the events columns of the local newspapers. Notices of all CDBG public meetings and hearings are mailed to about 4,000 people and organizations and printed in the minority newspapers. Because of the local newspaper's refusal to submit a compliance agreement with the city's affirmative action rules, paid advertisements in the local dailies are kept to a minimum. The Department of Community and Human Development publishes a quarterly newsletter, *Impact*, which reports on relevant events and programs.

Also important is the availability of data about the city's neighborhoods. The Bureau of Planning publishes a fact book about each Neighborhood Planning Unit which contains directories of city departments, elected officials, and community organizations; population and housing profiles; information on school, library, health, and park facilities; and public safety and transportation information.

BALTIMORE

Central Maryland

Location

Population: 906,000
47% nonwhite
Median income: \$8,815
9% unemployed
14% below poverty level

Community
Socioeconomic
Profile

Mayor-Council. Nine council districts elect two council persons each in partisan elections. Mayor elected directly.

Form of
Government

Urban Renewal, Neighborhood Development Program, Model Cities, Water and Sewer, Open Space, Neighborhood Facilities

Previous Federal
CD Grants

4th year: \$28,435,000
3rd year: \$29,042,000
2nd year: \$30,895,000

CDBG Funding

Department of Housing and Community Development
Mr. Franz Vidor, Director, Division of Planning
222 East Saratoga Street, Room 510
Baltimore, Maryland 21202
(301) 396-4220

CDBG Program
Administered by

MARYLAND

A city of many community organizations and cohesive neighborhoods, Baltimore has long enjoyed a strong citizen involvement base. Neighborhood-based Project Area Committees are the major source of participation in the CDBG Program. They address a variety of neighborhood issues, submit proposals for CDBG projects, and monitor projects. Some committees receive funding, maintain staff, and are directly involved in implementation. The city supplies all Project Area Committees with the services of both a project planner and a manager who provide technical assistance and information for proposed and on-going projects. A separate participation mechanism for social service projects also operates in Baltimore.

BACKGROUND OF CITIZEN PARTICIPATION IN BALTIMORE

Baltimore contains a large and influential ethnic population that includes Greeks, Italians, and Poles. The strong ethnic character of the city is one factor contributing to the current revitalization of the city's neighborhoods. Another important agent in the revitalization movement is the South East Community Organization, a federation of some 60 community groups, which has become a model for community organizations involved in neighborhood improvement.

As one of the ten largest U.S. cities, Baltimore has had considerable experience with federal community development programs. It undertook sizable model cities and urban renewal projects and was involved in a variety of other federal efforts. A successful experience with a citizen advisory committee in an urban renewal project in 1959 showed the advantages of citizen participation in community development projects. Since that time, Baltimore has consistently followed a strategy of gaining citizen support in neighborhoods where projects are planned. This usually has been accomplished by working with a representative citizen organization to obtain advice in the planning and implementation of the project. If the neighborhood had no organization, the city often created one. This strategy resulted in years of successful community development efforts which accommodated both city and citizen interest in preserving the physical quality and social cohesiveness of Baltimore's neighborhoods.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

The CDBG application in Baltimore is developed through two separate departments. The Housing and Community Development Department controls roughly 70 percent of the CDBG budget and is primarily concerned with housing and physical improvement projects. The Urban Services Agency is concerned with all CDBG social service projects which constitute almost 25 percent of the grant.

The two departments have separate administrative functions and separate citizen participation mechanisms, so Baltimore supports two discrete citizen participation processes to develop the CDBG application and monitor projects. Five percent of Baltimore's CDBG allocation is distributed among several smaller city agencies.

Participation in Social Service Projects

The Urban Services Agency was created in 1975 when the mayor merged the city's model cities and community action agencies. The agency operates or contracts for a variety of social service programs with an annual budget of close to \$50 million. CDBG funds account for about 15 percent of its total budget and these funds support 18 agency programs.

Citizen participation in the Urban Services Agency is extensive. The agency operates 27 community centers located in low income target areas. Each center has an elected citizen advisory board which works with the community center staff (usually a director and three outreach workers) in planning and implementing programs. Each advisory board has one representative serving on the East-West Advisory Council which addresses city-wide problems. This council, appoints representatives to the Urban Services Agency Commission which acts as a board of directors to the agency and exerts considerable authority over the agency and its programs. The commission consists of 31 members, 20 appointed by the East-West Advisory Council, and 11 appointed by the mayor. The council votes on the proposals and forwards its recommendations to the commission. The commission reviews them and recommends projects to the mayor. The agency is guaranteed 25 percent of the annual grant and recommended projects are kept within this limit.

Participation in Housing and Physical Improvement Projects

Projects not handled by the Urban Services Agency are the responsibility of the Housing and Community Development Department. The department administers virtually all community development efforts in the city and has its own citizen participation mechanism.

Prior to the CDBG Program, the Housing and Community Development Department worked with a citizen organization in each renewal project area. It continued this practice after the CDBG Program began and established a mechanism for involving the same organizations in the development of the CDBG application. The neighborhood organizations involved in the process are called Project Area Committees. In the fourth year, there are 35 project committees working with the department, ten of which existed prior to the CDBG Program.

Project Area Committees are established by Housing and Community Development Department staff in neighborhoods where a

community development project is being planned. In most cases, department staff organizes the committee by identifying an existing citizen organization that can serve in an advisory capacity for department projects. An organization that can mobilize broad-based community support is usually chosen. Membership in the project committee is open to all neighborhood residents, property owners, businessmen, and organizations. Department staff defines the boundaries of the committee and determines the amount of operational funds it will receive.

The primary function of the project committee is to advise the Housing and Community Development Department staff on the planning and implementation of community development projects. Most committees however, have broadened their involvement in city affairs to include transportation, sanitation, and other neighborhood concerns.

Project Area Committees play an important role in the CDBG application process. Several months before the application is sent to the mayor the project committees develop proposals for projects in their neighborhoods. Each committee works with a planner from the Housing and Community Development Department who assists it in identifying neighborhood needs and eligible CDBG projects that address those needs. Committees usually hold several meetings discussing proposals which they then submit to Housing and Community Development Department through the planner assigned to their committee. Some project committees also hold general neighborhood meetings to vote on the proposed projects. There is no limit to the amount of proposals or the amount of funds they may request though they must rank the proposals in order of priority.

The city also sets aside \$1.5 million for non-project committee citizen proposals. A public hearing is held by the Housing and Community Development Department to provide interested parties with information needed to develop a proposal, most of which come from nonprofit organizations involved in housing or neighborhood development. City departments submit proposals for projects at roughly the same time that Project Area Committee citizen groups submit their proposals.

There is intense competition among project committees, other citizen groups, and the city departments to get proposals funded. Many committees adopt a strategy of submitting a large number of proposals in an effort to get a larger share of the funds. Baltimore has no city-wide citizen committee to review CDBG proposals. The Housing and Community Development Department convenes an internal staff committee to review proposals submitted by city departments and citizens with department planners presenting the project committee proposals. After reviewing all proposals, the department committee develops recommendations for the mayor. Although several project committees have expressed dissatisfaction with the outcome and manner by which the

department selects citizen proposals, they have not demanded a more active role in the review process.

After the draft application is reviewed and modified by the mayor and his senior staff, a second public hearing is held. At this hearing the Housing and Community Development Department presents the application and obtains citizen comment. The application then may be modified further and is sent to the Board of Estimates for its approval. The board is appointed by the mayor and is responsible for approving certain fiscal decisions of the city. The CDBG application is neither reviewed nor approved by the city council.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN BALTIMORE

Project Area Committees

The Project Area Committees represent the most active component of Baltimore's citizen participation process and enjoy a significant degree of influence. There are two types of Project Area Committees: some which are officially designated by the Housing and Community Development Department and others that are not. The latter category of project committees includes organizations that advise the department but receive no direct funding. They promote neighborhood interests, propose projects, and hold regular meetings, but are rarely involved in project implementation and community organizing. Sixteen such committees are in operation now. Most of the newly created committees are not formally sanctioned.

The officially designated Project Area Committees are incorporated as nonprofit organizations and maintain a contractual relationship with the Housing and Community Development Department. They are required to have bylaws, conduct regular meetings, and elect officers and a board of directors. Most of these committees are funded by the department. Each year they submit a request for administrative funds for the upcoming year which specifies why the funds are needed and how they will be used (staff support, facilities, supplies). Department staff and representatives of the committee then meet to negotiate a contract.

The specific amounts of funding vary significantly among the project committees. Committees involved with community development projects that demand organizing work such as information dissemination, numerous meetings, door-to-door canvassing, and the like, receive a larger contract than committees that are less active. The most common project committee contract is for \$35,000, which provides for an executive director, assistant director, and clerical employees. Ten project committees have this type of contract and are provided a storefront for their operation. Several other committees receive from

\$1,000 to \$4,000 annually to cover printing and mailing expenses. One committee that is extensively involved with the projects in its neighborhood has a contract for \$165,000. The total cost of Project Area Committee funding for the city is roughly \$500,000 annually.

Staff for each project committee is selected by the committee's officers or board of directors. The staff provides support for the daily operations, conducts community organizing efforts, assists the membership in developing CDBG proposals, and maintains contact with the Housing and Community Development Department.

Citizen Involvement in Implementation and Monitoring

Some project committees have contracted with the Housing and Community Development Department to provide services for a particular project. For example, one committee is under contract to hire, supervise, and pay operators for an extra sanitation truck for the neighborhood. The same committee also is implementing a program to assist residents in purchasing homes in a neighborhood that has become subject to intense speculation. Staff and overhead expenses for implementation related services are drawn directly from the project budget and are specified in a contractual agreement with the department. While most committees are not heavily involved in project implementation, several have developed and are administering innovative projects.

Virtually all project committees are involved in monitoring projects in their neighborhoods. Because the Housing and Community Development Department has no formal mechanism for supplying committees with status reports, most committees work through their planner and project manager to obtain information on projects. Project committees discuss projects at their monthly meeting and supply the department with continuous feedback on local projects.

Technical Assistance

All Project Area Committees receive technical assistance in developing proposals and monitoring projects. The Housing and Community Development Department has 11 planners who work closely with the committees throughout the year. The planners are most intensely involved with the committees when proposals for CDBG funds are being solicited. The planners assist the project committees in identifying neighborhood needs, developing proposals, providing information on eligibility, and designing projects. Planners do not work full-time with the committees but assume other duties within the department. They also serve as advocates for the committees when proposals are submitted for CDBG projects.

Project committees also are provided technical assistance through project managers who work out of the commissioner's office of the Housing and Community Development Department. The project managers offer committees more comprehensive assistance than the planners provide. The project manager's sole responsibility is to assist the committee in dealing with neighborhood problems and work with the committees on a daily basis. Each project manager is assigned several committees. They keep the committees informed of CDBG project activities and serve as a liaison between the committees and various city agencies and departments. While the project managers do not act as advocates for the project committees, they do serve as a resource in the committee's efforts to develop strategies and initiate activities to preserve their neighborhoods, such as zoning changes. They also coordinate the efforts of the planners, project committees, and other departments on specific CDBG projects. Most committees hold monthly meetings with their planners and project managers to discuss new projects, problems, and neighborhood issues.

BIRMINGHAM

Central Alabama

Location

Population: 301,000
42% nonwhite
Median income: \$7,737
7% unemployed
17% below poverty level

Community
Socioeconomic
Profile

Mayor-Council. Nine city council members elected at large in
nonpartisan elections. Mayor elected directly.

Form of
Government

Urban Renewal, Water and Sewer, Open Space, Neighborhood
Facilities

Previous Federal
CD Grants

4th year: \$10,849,000
3rd year: \$ 7,213,000
2nd year: \$ 5,040,000

CDBG Funding

Department of Community Development
Mr. James R. Land, Director
City of Birmingham
710 North 20th Street
Birmingham, Alabama 35203
(205) 254-2309

CDBG Program
Administered by

ALABAMA

Birmingham officials turned negative citizen reaction to a citizen participation plan into constructive citizen involvement in the formulation of a new plan. With components at the neighborhood, district and city levels, the process created lines of communication and influence into city hall which previously did not exist for black and white citizens. Many formerly unorganized neighborhoods are active in issues beyond CDBG. The city-wide Citizen Advisory Board is developing an independent position in the city and is also expanding the scope of issues in which it is involved.

BACKGROUND OF CITIZEN PARTICIPATION IN BIRMINGHAM

Birmingham's citizen participation process in Community Development Block Grant was born out of a set of events predating and largely independent of the CDBG Program. In order to secure Urban Renewal funds and to participate in other federal programs in the Sixties and early Seventies, the city developed a Workable Program.

Initially, the citizen participation requirements of this program were largely met through Operation New Birmingham, a nonprofit, business oriented citizen organization formed in the Fifties to promote the economic health of the downtown area. In response to severe racial strife in Birmingham in the Sixties, Operation New Birmingham formed the Community Affairs Committee, a biracial group of community leaders which meets weekly to discuss a variety of civic concerns. This committee played a mediating role between city officials and local leaders during the period of racial turmoil. It maintains a significant position in public decision-making through direct contact with elected officials.

In 1973 as a requirement for recertification of the Workable Program, HUD stipulated that the city directly administer and be responsible for citizen participation activities. In order to comply with this requirement, the city organized and staffed the Community Resources Division within the Community Development Department.

The director and staff of the community Development Department drew up a plan which would have established a three-tiered structure for citizen participation. It would have divided the city into neighborhoods, then into 16 districts, and finally created a city-wide citizen advisory committee. The proposed city-wide committee would have included up to 25 people, one from each of the districts and nine appointed by the mayor and city council.

In January, 1974, the city began the fieldwork to implement the plan. The Community Development Department hired several new staff members to work on citizen participation. They were assisted by several Operation New Birmingham staff members who had previously organized neighborhood groups. Operation New Birmingham had recognition and support in East Birmingham. In North Birmingham much organizing work had

been done by an ecumenical church-supported organization, Greater Birmingham Ministries. With a background in civil rights and social justice issues, Greater Birmingham Ministries had initiated a Block Partnership program in North Birmingham which linked relatively wealthy white churches with needy black churches.

From January to March, staff members made initial neighborhood contacts, especially in the North Birmingham area, with neighborhood residents and leaders (ministers, PTA presidents, housewives associated with garden clubs, people suggested by other city agencies). The staff spoke generally about involving citizens and asked them to define the area they viewed as their neighborhood. The staff encouraged leaders to call a neighborhood meeting at which the citizen participation plan would be presented.

As city staff began making contacts in neighborhoods, Greater Birmingham Ministries and neighborhood leaders organized opposition to the proposed plan. At initial meetings in two areas where Greater Birmingham Ministries was actively involved, the staff encountered organized opposition to the plan. Neighborhood leaders charged that if city officials were serious about citizen participation, they would involve citizens in the plan's formulation. They pressed community development staff to call a public hearing on the plan. Staff referred them to city council. The following week citizens formally requested that the council hold a hearing. The hearing proved to be a key in altering the existing citizen participation plan and increasing organized citizen influence in the CDBG Program.

The public hearing before the city council was attended by about 500 people: black and white, old and young, rich, middle income and poor. Almost all speakers responded negatively to the plan in an emotion-charged, three-hour session. Most speakers agreed on three points: citizens wanted to formulate their own plan; they did not want Operation New Birmingham involved; and they wanted all citizen representatives to be elected.

Staff members listened to tape recordings of the meetings and listed the problems citizens identified. The problems were grouped into five areas: citizen input into the plan; role of existing organizations; organizational structure; two-way communication; and contact with the mayor. Three weeks later, staff held a public workshop. Invitations were mailed to all those who had spoken at the city council hearing. Citizens were divided into five groups and asked to consider one of the five areas that emerged from the public hearings and to make general recommendations for a citizen participation plan.

Based on the discussion and recommendations of the workshop and subsequent staff meetings held with neighborhood residents, community development staff drafted a revised citizen participation plan. The plan was then sent to the participants for review and comment. After making minor changes, citizen representatives approved the new plan. A final draft was prepared, printed

and submitted in May of 1974 to the mayor, who then submitted it to city council. Subsequently, with the knowledge that the newly-passed Housing and Community Development Act required citizen participation, the council called a public hearing concerning the revised plan. At this hearing, held in October, 1974, citizens gave strong support to the plan. They urged that it remain flexible and be implemented as soon as possible. Two members of city council each offered an alternative plan, neither of which was supported by other members of the council. Two weeks after the public hearing, city council officially approved the citizen formulated plan, and staff prepared for the first city-wide citizen participation election held in mid-November.

The three major issues raised by citizens at the initial public hearing had been resolved. Citizens had formulated their own plan, all representatives were elected, and Operation New Birmingham, whose involvement by this time had ended, was not given a formal role in the citizen participation process.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

Birmingham's citizen participation process has three levels of organization: neighborhood, community, and city-wide. Three officers are elected in each of 90 neighborhoods throughout the city. Neighborhood officers from adjoining clusters of two to six neighborhoods meet at the community level. They elect three officers, including a president. The city-wide Citizen Advisory Board is composed of the presidents of the 20 community organizations.

During several months of extensive fieldwork, city staff presented a city planning map to local residents, and asked them to identify their neighborhoods and communities (larger areas that included their neighborhoods). The city officially recognized the boundaries and names identified by residents of those areas.

Neighborhood Level

A president, vice-president, and secretary for each neighborhood are elected by residents on a city-wide election day. In consultation with the vice-president and secretary, the neighborhood president is responsible for appointing a Neighborhood Advisory Group, composed of persons representing all geographic areas and interest groups within the neighborhood. The president also schedules and presides at regular meetings of the Neighborhood Citizens Committee, the general plenary body for the neighborhood. Most of the Neighborhood Citizens Committees throughout the city meet monthly.

Seven community resource officers attend Neighborhood Citizens Committee meetings in neighborhoods for which they have responsibility. In addition, they work with neighborhood leaders, provide information, and serve as a liaison

between neighborhoods and city hall. However, community resource officers have no decision-making authority in advising neighborhood organizations for which they are responsible.

Community Level

Intermediate level organizations, called communities, are composed of elected officers of each component neighborhood. The maximum number of community members depends on the number of neighborhoods in the community. However, a community must have at least two neighborhoods and hence six members. The community president serves on the Citizen Advisory Board; in the absence of the president, the community vice-president serves. Communities also function as vehicles for neighborhoods to work on common problems and devise common strategies in approaching city hall. Communities usually meet monthly, but there is much less activity at the community level than in the neighborhoods or on the Citizen Advisory Board.

Citizen Advisory Board

The Citizen Advisory Board is composed of the presidents of the 20 communities identified in the citizen participation plan. The board holds monthly business meetings and meets bimonthly with the mayor and city council, as recommended in the citizen participation plan. It presents the concerns and needs of neighborhoods, seeks information on issues currently before the city officials, and advises the mayor and council on alternative courses of action. The Citizen Advisory Board is divided into committees along the lines of city council committees. Citizen Advisory Board Committees meet with council committees in an observer role. The scope of issues with which the board has been involved in the four years since its inception has increased. It now is a major communication link between elected officials and citizen representatives.

Allocation Process

Neighborhood and physical development projects are funded through several different processes in Birmingham. These include: a neighborhood allotment program with General Revenue Sharing funds, the allocation of CDBG funds, and the allocation of capital improvement funds.

Neighborhood Allotment

In the neighborhood allotment program, a lump sum is appropriated each year from the city's General Revenue Sharing funds to be divided among all 90 neighborhoods according to a two-part formula based on population and number of low-income households. Each neighborhood's allotment may be spent for council approved projects in its area.

The citizen participation plan directs neighborhoods to prepare an analysis of needs, to prioritize these needs, and to formulate projects. Priorities are usually recommended by the Advisory Group and voted on at full Neighborhood Citizens' Committee meetings. Votes taken by residents are binding, though neighborhood committees occasionally change their priorities as the year progresses. Neighborhood committees submit their project requests on a city form through their community resource officer to the Community Development Department. Project requests may be submitted at any time during the city's fiscal year. The Community Development Department determines the eligibility of each project. Projects are usually forwarded to appropriate city departments for technical advice, such as cost estimates, before being sent on to the Project Review Committee of the city council. The committee is responsible for recommending funding on neighborhood projects to the full council.

Originally, the lump sum came from Birmingham's CDBG monies; but since the second year of CDBG, it has come from General Revenue Sharing funds. City officials and citizens agreed that the process of funding small neighborhood projects in the neighborhood allocation program was too cumbersome under the restrictions of CDBG funds. They agreed to follow HUD guidelines in the allocation of General Revenue Sharing funds. However, some exceptions are made, such as approving small General Revenue Sharing funded projects in middle- and upper-middle-income areas.

The cost of neighborhood projects often equals or exceeds the amount of the allotment. Neighborhood groups must decide whether to divide their allotment among several projects, to use the entire annual allotment for one project, or to fund a project which exceeds their allotment. In the latter case, they must either commit funds for more than one year or attempt to persuade the council to fund part or all of the project from other sources. Neighborhood groups, therefore, often bring their needs directly to city hall in an effort to persuade elected officials that they need more money for their area. While neighborhood leaders lobby for more money, city officials discuss with neighborhood leaders the nature of the projects they choose, occasionally attempting to influence the neighborhood committee's choice. For example, council members may agree to match the neighborhood allotment if the neighborhood chooses the type of projects council would prefer to fund.

CDBG Funds

The Citizen Advisory Board's major role in the CDBG allocation process is in the recommendation of general budget categories. While tied into this application and bargaining process, the CDBG budget is prepared by the Community Development Department staff and presented by the mayor to the council. In the first

year, the council substantially changed the budget in response to the advisory board's recommendations. The Citizen Advisory Board took the initiative in the second year by proposing its own budget to the council. By the fourth year, however, the process was reversed with the advisory board commenting on a city proposed budget. A general category breakdown of the budget was given to the Citizen Advisory Board approximately one week prior to the city council hearing. The advisory board rearranged overall categories of funding according to board priorities and made recommendations to the council. While it made changes in previous years, the council did not substantially change its initial fourth year budget in response to Citizen Advisory Board recommendations.

Neighborhood groups generally do not appear before the advisory board. Instead, they follow their projects directly through city departments or through elected officials. Some city departments and agencies have been more responsive than others to citizens' concerns. These generally have been the ones that have become involved most actively in the citizen participation program.

Each year, the city council has selected two or three pilot (target) neighborhoods for a major influx of CDBG funds, in addition to the neighborhood allotment from General Revenue Sharing. There has been substantial disagreement over this policy between the advisory board and city council. The advisory board opposes the targeting of funds. Several members of council oppose the formula based allotment of funds to all 90 neighborhoods. Thus far a middle ground has prevailed with funds appropriated for both the allotment of General Revenue Sharing funds to neighborhoods city-wide and for the targeting of a portion of CDBG funds to two or three pilot neighborhoods.

Capital Improvement Funds

In addition to CDBG recommendations, the Citizen Advisory Board advises the mayor and council on the expenditure of bond revenue and on the city's overall capital improvement program. The board's role in these areas was viewed by members as a logical extension of its advisory role in CDBG in meeting some of the city's major problems.

Involvement of Citizens in Land Use Planning

Recently, the city carried out extensive efforts to develop an updated land use plan. Residents had an opportunity to advise on the plan through the established citizen participation process. Meetings were held throughout the city between citizens and members of the city's planning staff; between citizens, the planning staff and planning commission members; and, finally, between citizens and city officials at public hearings. Significant aspects of the plan were the result of contributions by citizens.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN BIRMINGHAM

Formation of the Process

City officials responded to resistance to their proposed citizen participation plan by involving citizens in the formulation of a plan. Thus they channeled intense citizen dissatisfaction into constructive participation. The careful monitoring of the tape recordings of the first public hearing, and the follow-up workshop tested the seriousness of both sides. It also established a more open process of communication between dissatisfied citizens and city officials. The city's implementation of the process and the participation of citizens in it have opened lines of communication and influence into city hall which previously, for many citizens, did not exist.

Written Citizen Participation Plan

An 18-page citizen participation plan details the formation of the process; the intent of the process; and the powers, responsibilities, and procedures of organizations at the neighborhood, community and city levels. The written plan reaffirms the importance of the process as a communication device between citizens and the city officials. The plan states that the process should be flexible despite its well defined formal structure.

Elections

Neighborhood elections are held on a city-wide basis every two years. An election manual, specifically drafted for the citizen participation process and adopted by city council, describes election procedures. In the first year, elections for neighborhood officers were organized and paid for by the city and were held simultaneously in all neighborhoods. The turnout was about one third that of a municipal election held two weeks earlier to fill a vacant seat on city council. In the second year, turnout increased by 50 percent. Also, in the second year, the rules were changed to allow incumbent neighborhood presidents to run for reelection. Three elections have been held to date and another election is scheduled for the fall of 1978.

Neighborhoods

The 90 neighborhoods in Birmingham are sufficiently small that they encourage participation by a wide variety of people. Many participants probably would never be involved on a level above the neighborhood.

The allocation of money to neighborhoods for council-approved projects allows citizens to make concrete, visible changes in their neighborhoods. Given the current number of neighborhoods and communities, it is possible for about one-fourth of all neighborhoods to have a representative on the Citizen Advisory Board. Although not

represented, other neighborhoods may appear before the board and send representatives to attend their meetings. While some neighborhood representatives maintain informal contact with their community representative on the advisory board, there are difficulties in maintaining effective communication between the board representatives and other neighborhood officers in their communities.

Some neighborhood leaders are adept at lobbying city hall and are often successful in getting projects which substantially exceed their neighborhood allotments. Funds for projects beyond the neighborhood allotment are allocated from the city's CDBG monies, a recent major bond issue for capital improvements, and other locally raised monies.

Citizen Advisory Board

Citizen Advisory Board members strive to represent their entire community rather than the neighborhoods in which they were originally elected. At the first meeting of the advisory board in 1975, a conscious decision was made to try to understand and help solve the most serious problems in the city, regardless of location. Rivalries among communities have been almost nonexistent and a tone of cooperation rather than conflict has pervaded advisory board deliberations.

While the board does not consider each CDBG project, it has influence by directing its priorities (housing and sewer projects) into the budget. In 1977, the advisory board had a substantial effect on a major bond proposal. After objections from the advisory board, the mayor withdrew his plans for a \$62.5 million bond issue and formulated a new bond package with advisory board members which reflected board priorities for sanitary and storm sewers. As a result, advisory board members actively supported the bond issue in neighborhoods. Birmingham voters approved the bond package by a substantial margin.

The Citizen Advisory Board also offers advice on the five-year Capital Improvement Plan and the general operating budget. The advisory board's finance committee is invited to sit in on the city council's budget hearings with department heads. The committee reports back to the board for comments.

The advisory board seeks information from neighborhoods on neighborhood and city-wide issues and appears to be increasing its status and influence within the city. It also provides a forum for neighborhoods to ask questions and raise city level issues.

Information and Communication

The citizen participation process is viewed by many as a two-way communication mechanism between neighborhoods and the city. The Community Development Department sends a weekly mailing to neighborhood officers with a variety of notices, including agendas of city

council meetings, agendas of other boards, vacancies on boards, proposed zoning changes, and liquor license applications pertinent to the neighborhood.

The department has a large budget for communication which is used to prepare and mail flyers and other notices at a neighborhood's request. The city also maintains address files for neighborhood use. A few neighborhood presidents consider the city mailings too slow and cumbersome to be effective in getting out a quick mailing to their neighborhood. The current system of administering the communications budget does not allow neighborhood presidents to be reimbursed for any out-of-pocket communication or clerical expense for neighborhood business.

Flexibility of the Process

Although explicitly structured, Birmingham's citizen participation process can be adopted for uses other than CDBG. The process was used to allow citizens an opportunity to advise in a

significant manner the city's land use plan.

It also has remained both flexible and responsive to changes in neighborhood and community needs and boundaries. Neighborhoods and communities cover the entire geographic area of the city. The number of neighborhoods and communities and their boundaries have been modified several times in the four year process, in part due to annexation. Through the citizen participation process, the boundaries were reviewed annually in the first three years and are now scheduled for review every two years. The citizen participation plan itself was reviewed and modified in 1976 by all neighborhood groups, the Citizen Advisory Board and city officials. At that time a formalized review every two years was scheduled.

The official recognition of neighborhood and community boundaries and the formal periodic review of the entire citizen participation process by citizens and city officials has helped officials gain citizen confidence and secure citizen involvement in the process.

BUFFALO

Western New York

Location

Population: 463,000
21% nonwhite
Median income: \$8,804
10.7% unemployed
11% below poverty level

Community
Socioeconomic
Profile

Mayor-Council. Fifteen-member common council; nine elected on district basis, five elected at large in partisan elections. Council president elected directly. Mayor elected directly.

Form of
Government

Urban Renewal, Neighborhood Development Program, Model Cities, Open Space, Neighborhood Facilities

Previous Federal
CD Grants

4th year: \$21,269,000
3rd year: \$10,346,000
2nd year: \$11,417,000

CDBG Funding

Department of Community Development
Mr. William Donohue, Commissioner
City Hall, Room 920
Buffalo, New York 14202
(716) 856-4200

CDBG Program
Administered by

NEW YORK

BACKGROUND OF CITIZEN PARTICIPATION IN BUFFALO

A city that has been losing its industry and its population (an estimated 200,000 people since 1950), Buffalo has experienced a weakening of its traditional financial, commercial, and political leadership. Downtown Buffalo presents evidence of major disinvestment and increases in blight and crime. The downtown business community also sustained a major defeat in the mid-Sixties when the State University of New York decided to expand its Buffalo campus at a suburban site.

For years the city government has been unable to effectively carry out community development activities. Land cleared over ten years ago for downtown renewal has never been developed. Many citizens feel that Buffalo's recent mayors have not been wise managers. Citizens, often frustrated in dealing with city hall, have developed a distrust of the city government.

The apathy of traditional leadership groups has created a power vacuum in which neighborhood leaders have been able to build constituencies. This growth of neighborhood-based power has been fostered by federal programs such as Urban Renewal, Model Cities, and CDBG.

The citizen participation mechanism for CDBG was spurred by the Citizens' Advisory Committee on Community Improvement. The citizens advisory committee was formed by the mayor in 1964 to comment on the Workable Program for Urban Renewal. It originally consisted of 70 people, appointed by the mayor, who represented the business and financial elite of the city. A City Charter revision in the early Seventies officially established the committee, reduced its size to 17 appointed members, and charged it with advising the mayor and the Community Development Department on a variety of city affairs, including HUD programs. The Office of Citizen Participation and Information staffs the committee.

The role of the Citizens' Advisory Committee on Community Improvement has changed over the years. Although officially responsible to the Community Development Department, it has reported directly to the mayor until recently. In 1971, prompted by a strong staff director, it divided the city into 11 planning districts. These are comprised of 70 neighborhoods grouped into twelve residential districts, plus the central business district. The Committee wanted the residents of planning districts to develop organizations that would provide neighborhood input into city decision-making as well as carry out neighborhood activities.

The Model Cities program provided the impetus for the development of a strong community organization in the poorest area of the city. Ten neighborhood-based citizen committees each named three delegates to serve on the Model Cities board, along with 15 people appointed by the mayor. The Model Cities citizen committee and the board became knowledgeable about community organization and the delivery of social services. They also became involved in physical

development and supported the work of the Buffalo Community Development Organization, a corporation that sponsored several housing projects.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

Community Development Corporations

When the CDBG Program began in 1974, the Office of Citizen Participation and Information hired four staff members to help organize Community Development Corporations in five districts. By the second year, all 12 residential districts had a community coordinator from the Citizen Participation Office, and the city hired an attorney for citizens wishing to establish development corporations. It was envisioned that the corporations would help determine the expenditure of CDBG funds and implement entrepreneurial and social programs to meet the districts' needs.

A citizen organization operates in each district. Some district organizations have chosen not to incorporate and therefore do not directly receive CDBG funds or operate programs as the corporations do. All district organizations exert a major influence in determining the expenditure of CDBG funds in their districts. Boards of directors of the development corporations (or members of the planning committees in unincorporated organizations) are elected by district residents. In some corporations board members are elected from each of the five or six neighborhoods within the district; in others they are elected at large. Some districts have yearly elections and some board members have staggered terms. A typical corporation board has about 20 people. All board meetings are open. In addition, most planning districts have project committees to develop and monitor CDBG projects. For example, a playground improvement committee may plan and monitor the renovation of a neighborhood playground. Membership on project committees is open to anyone interested in joining.

Community coordinators provide organizational support to citizens forming district organizations. District groups depend on their coordinators for information, liaison with city offices, and assistance in organizing activities and building district support. Most community coordinators live in the district in which they work and are advocates for their districts. However, they are not necessarily skilled in technical areas such as housing development or finance.

Community Development Corporations have their own paid staff of two to ten members. They implement the corporations' programs. Most of the corporations' funding comes from the CDBG, but some corporations receive additional funds from other city and county programs or community service organizations.

Except in the Model Cities area, community

organizations in Buffalo had little experience with physical development prior to the CDBG Program. Most of the people instrumental in establishing development corporations have been active in social service, school, and church organizations. Because corporations received very little technical or planning direction from the city, they tended to propose and operate social service programs rather than physical development programs and have been criticized for this. (Social service programs have represented about 20 percent of CDBG's annual expenditures.)

Third Year CDBG Allocation Process

By the third year, the Community Development Corporations were formed and an allocation system was developed. Almost 70 percent of the CDBG budget (excluding staff and administrative costs) was spent on district projects. District organizations have taken a major role in determining which projects are funded.

During the third year, each development corporation board (or planning committee) met with district residents, business people, and service organization representatives at two formal public meetings. The first meeting was held to brief citizens on the CDBG Program and give them a status report on previously funded projects. The second meeting was a forum to discuss possible CDBG projects and receive written and oral proposals from citizens. The corporation boards chose the most important projects from among the suggested activities and assigned them priorities. The priority list for each district was sent to city hall where the Policy Advisory Committee reviewed it. The 35-member Policy Advisory Committee considered the proposals from each district with the district's coordinator present, eliminated some of the lower priority projects, and estimated the cost for the remaining projects. This revised list was then sent to the corporation boards for review. Unless there were major disagreements—which was rare—with the actions of the Policy Advisory Committee, the corporation formed project committees to develop the details of each project, before returning the final project list to the Policy Advisory Committee, which wrote the application for the city. After the application was written, the Technical Review Committee, which included representatives from the Law, Public Works, Planning, and Programming Departments, reviewed the proposed application to ensure that all projects were eligible for CDBG funding and were consistent with city policies. The Technical Review Committee met weekly and sent the completed application to the Urban Renewal Agency for approval. The Urban Renewal Agency forwarded the application to the common council and the mayor. The council approved the application after a city-wide public hearing.

Fourth Year Allocation Process

In the third year, public meetings were organized on a planning district basis and run by the

Community Development Corporations. During the fourth year, hearings were held in city council districts and the councilperson presided. The change from planning district to city council district hearing caused problems for some neighborhoods. Planning district boundaries are not the same as city council districts. Neighborhoods grouped into planning districts had formed development corporations. In the reorganization to council districts, many neighborhoods were grouped with different neighborhoods. Thus, planning district leaders were hindered in their ability to develop coalitions to support projects or to continue projects previously begun.

This change was only one of many which occurred after a new mayor assumed office in January, 1978. Most disturbing to active participants in district organizations was the termination of all community coordinators in February. Several coordinators had run for common council in 1977 and three had won seats. The termination of the coordinators created speculation that the new administration wished to reduce citizen influence in the CDBG Program.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN BUFFALO

Citizen Control Over District Allocations

Community Development Corporations and planning committees in effect control the expenditure of CDBG money in their districts. Although the district organizations are advisory in nature, the city has funded district projects in the priority order which district organizations assigned them for the first three years of the program. Ninety percent of district priorities have been funded.

Because district organizations make virtually binding recommendations on projects and determine whether to continue funding projects from previous years, they are implicitly involved in the evaluation of existing programs within their districts. They do not take a major role in developing or evaluating multidistrict programs such as the rehabilitation loan and grant program and an economic development program.

While development corporations and planning committees have not expanded their influence to issues other than the CDBG Program, they have assumed a major role in a program which represents a growing percentage of the city's budget.

Citizen Involvement in Implementation

Community Development Corporations in Buffalo actually operate programs. The corporations have developed more human service programs than physical revitalization programs. Some corporations feel that they could begin planning and implementing physical development

projects if they had the technical skills. Their lack of technical expertise and information is demonstrated by their limited ability to attract additional funds to accomplish projects. However, the city has not provided them with the necessary information and assistance to secure funds. Furthermore, the city has no plan and has provided no direction for comprehensive neighborhood projects.

Creation of Interest Among Citizens

The corporations kindled concern among residents and business people for the quality of their neighborhoods. Furthermore, large numbers of citizens are now more interested in city services, budgets, and particular programs than they had been before the development corporations were established. The corporations' power over the allocation of funds has also helped generate citizen interest. Some residents feel that Buffalo's negative national image must be changed, and that their involvement in redevelopment efforts helps to build a positive image of the city.

Citizen Involvement in Selecting Coordinators

Community Development Corporations and planning committees often were involved in selecting their community coordinators. In some districts, individual community leaders approached the director of the Office of Citizen Participation and Information to recommend a candidate. In others, the development corporation recommended a candidate or candidates. In the remaining districts, representatives from the community formed an interviewing committee and recommended a candidate. While the recommendations of the district organizations have been advisory, they have generally been adopted.

Citizens' Advisory Committee for Community Improvement

The Citizens' Advisory Committee has six subcommittees: Management Services, Capital Budget, Community Planning, Community Corporations, Public Safety, and Zoning. While the advisory committee has no direct role in the CDBG Program, its Subcommittee on Community Corporations provides policy direction to the mayor concerning the development corporations and provides managerial and organizational assistance to the corporations. The subcommittees on Community Planning and

Community Corporations soon will be merged into a subcommittee on the CDBG Program in order to monitor the city's CDBG activities.

Among the advisory committee's most important functions is its citizen review of the city's capital budget. The Capital Budget Subcommittee consists of 15 people who meet regularly during the budget formulation process. They are not associated with the district organizations, however, and there is no established means of ensuring that district priorities are reflected in the capital budget. While the advisory committee is more representative of the city than it was when originally formed, a majority of its members reside in the wealthiest district in the city.

Publicity

During the second year of CDBG, two television stations aired shows on the CDBG Program. By this time, the development corporations and planning committees had been formed and the city wanted to enlarge the numbers of people participating in the CDBG Program. The mayor appeared on television twice and answered phone calls from viewers. Most people who called were vaguely aware of the citizen participation process and the CDBG Program and wanted more information. To the mayor's surprise, people did not call to complain or to voice their opinions on the local scene. While not everyone had a desire to get very involved in the Community Development Corporation in their area, they were interested in being informed. The shows were quite successful, but were not attempted in the third or fourth year.

Neighborhood Planning

Several district organizations have chosen to hire planning consultants with CDBG funds. In District 5, planning consultants met regularly with citizens representing the various interests in the district to develop a three- to five-year neighborhood stabilization plan. The plan consists of statistical information, a detailed discussion of three study areas within the district, and a listing of citizens' priority concerns in the study areas. For the balance of the district, the plan presents a detailed list of projects to be included and the projected cost of implementing the five-year plan. The projects proposed in the plan are directly tied to the district's CDBG allocation.

While only three districts have hired consultants and written such plans, the city is encouraged by the results of the first plans and hopes to expand the planning process to additional neighborhoods.

CINCINNATI

Southwestern Ohio

Location

Population: 452,000
28% nonwhite
Median Income: \$8,894
8.8% unemployed
13% below poverty level

Community
Socioeconomic
Profile

Council-Manager. Nine-member council elected at large in partisan elections. Mayor selected by council.

Form of
Government

**Urban Renewal, Neighborhood Development Program, Model Cities,
Open Space, Neighborhood Facilities**

Previous Federal
CD Grants

4th year: \$17,101,000
3rd year: \$18,448,000
2nd year: \$18,828,000

CDBG Funding

Office of Budget, Research and Evaluation
Mr. C. C. Haupt, Community Development Administrator
City Hall
Cincinnati, Ohio 45202
(513) 352-4686

CDBG Program
Administered by

OHIO

Citizens are involved in the CDBG Program in Cincinnati through a city-wide advisory committee and 47 neighborhood-based community councils. The appointed advisory committee reviews citizen and staff proposals and commands significant influence over the content of the application. The community councils generate CDBG proposals and address other issues concerning their neighborhood. The hallmark of this process is that neighborhood participation has been effectively integrated into the broader planning process of the city.

BACKGROUND OF CITIZEN PARTICIPATION IN CINCINNATI

Located on a major waterway, Cincinnati is an important midwest trade center. City politics are confounded by the presence of a strong third party, the Charter Party, which evolved out of the city's political scandals of the Twenties and has continued to play an influential role in local elections. Built upon seven hills and having a history of numerous annexations, the city is characterized by geographical and social features that have facilitated the growth and maintenance of strong neighborhood organizations, some of which have existed for over 50 years.

Although Cincinnati has ample experience with federal community development programs, there is no direct relationship between them and the citizen participation process in the CDBG Program. The only structures that survived the transition to CDBG are several neighborhood organizations initially established under the Community Action Program. The administrative influence of earlier efforts, on the other hand, is more significant. The local urban renewal agency ran the first year CDBG Program, while in the second year the Model Cities agency was responsible for it. A subsequent reorganization resulted in the location of the CDBG Program in the city manager's Office of Budget, Research, and Evaluation. The key staff for the CDBG Program, however, come from the old Model Cities agency.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

Community Councils

At the base of Cincinnati's citizen participation structure are 47 community councils which include almost all of the city's neighborhoods. Community councils identify neighborhood needs and submit proposals for CDBG projects. Each council also develops a Community Work Plan. The Community Work Plan is a comprehensive statement of the needs, goals, and proposed projects for the neighborhood. It is revised annually and is the source of community council CDBG proposals. Community councils are also involved in a variety of other types of

neighborhood issues, such as zoning, transportation, and sanitation.

The city has no criteria or process whereby community councils are formally recognized. Prior to the CDBG Program, block clubs, civic, and improvement associations existed in virtually every neighborhood. Some were involved in previous federal programs. When more than one group exists, the groups cooperate in identifying needs and projects. Generally, councils have open memberships and hold meetings at least once a month.

The community councils receive no funding from the city's general fund. Under a CDBG project for "community assistance," a dozen or so councils have been provided funds for personnel. The councils are responsible for their own clerical and publicity expenses. The community councils do, however, receive technical assistance through four Community Assistance Teams. Operating in each of the quadrants of the city, the teams aid the community councils in developing their Community Work Plans. The teams also serve as a liaison between the community councils and the city's line departments.

Community Development Advisory Council

During the first year of the CDBG Program, the city established a citizens Community Development Advisory Council to help develop the CDBG application. The advisory council has 25 members appointed by the city manager who serve staggered three-year terms. Twelve seats on the advisory council are filled by representatives of neighborhoods and 12 by representatives of general community-wide interests such as education and business. The chairperson of the advisory council is directly appointed by the city manager. Vacancies on the advisory council are advertised widely, and nominees are sought from a variety of neighborhood and city-wide organizations.

The advisory council meets monthly throughout the year and is involved in monitoring as well as in developing the application. It includes an executive committee along with six standing subcommittees that address the following community issues: economic development, housing, planning and community support, parks and recreation, public services and public works/environmental upgrading. Subcommittees meet twice monthly and are involved directly in developing the CDBG application and monitoring projects.

Development of the Application

Cincinnati has an elaborate process for involving citizens in formulating its CDBG application. The process begins nine months prior to the submission of the application with the community councils' revision of their Community Work Plans. It is in the work plan that the community council identifies the needs of its neighborhood and recommends how those needs

can be met. Each community council conducts several meetings to review its work plan and draws on the Community Assistance Team assigned to it for technical assistance. A revised work plan is then formulated and submitted to the city.

While the community councils are revising their work plans the Community Development Advisory Council conducts public forums to discuss the goals and objectives for the coming year. Community council members attend the forums and discuss the major problems and needs that should be addressed with CDBG funds.

Through the summer months, staff in the various line departments review the work plans. They identify projects in each neighborhood's work plan that currently are being planned or implemented, projects eligible for CDBG funds, and projects that may be undertaken with other sources of funding. Staff members then send their evaluation of the work plan back to the community council. During this period, the advisory council develops a proposed strategy for the upcoming year based on the discussion at the forums held in the spring.

The most intensive work on the CDBG application takes place in the fall. The advisory council calls a city-wide meeting of community councils to get feedback on its program strategy. After the advisory council describes its strategy, the community councils break into groups according to quadrants and discuss the proposed goals and objectives. The community councils then reassemble and indicate how they feel the strategy should be modified. The strategy for the program is important because it serves as the general criterion by which proposals are evaluated.

The initial review of proposals for the CDBG application is done by the six advisory council subcommittees. Each subcommittee handles a different program area. Prior to the subcommittees' review, the city determines what level of funding will be directed to each program area. As a result, subcommittees work with the particular dollar figure assigned to that program area and do not exceed that figure when making final recommendations.

Proposals for CDBG projects come to the subcommittees from three sources. Staff from the various departments develop proposals they believe are worthy of funding and direct them to the appropriate subcommittee. A few organizations, such as social service agencies, submit proposals but this practice is not encouraged by the city. Finally, proposals are submitted by the community councils. In theory, all projects assigned priority status in the work plans which are eligible for CDBG funding are reviewed by the subcommittees. However, in practice it is those proposals pushed by the community councils that are given full consideration. Projects in the work plans not strongly backed by the community councils are usually the first to be eliminated.

The competition for CDBG funds in Cincinnati is stiff. Lobbying for projects begins in the subcommittee meetings where proposals are first

reviewed. Each subcommittee holds at least three meetings where staff, community councils, and other initiators of proposals describe the projects they want funded. After hearing these presentations, the subcommittees review the proposals considering the general goals and objectives established by the advisory council. Some subcommittees award points and rank proposals according to criteria they establish themselves. Whatever process they use, all subcommittees develop a list of projects within the limits of their allocations.

The subcommittees send their recommendations to the full advisory council for review. The advisory council conducts a public hearing where, again, staff and community councils may speak in support of their projects. While the advisory council generally accepts the recommendations of the subcommittees, it may reconsider proposals eliminated by the subcommittee and modify or delete proposals. After fully reviewing the recommendations of the subcommittees, the advisory council drafts a recommended allocation plan and submits it to the city manager.

The city manager usually makes minor modifications to the advisory council recommendations. Following the city manager's review, the application is sent to the city council for its approval. The council holds two public meetings to review proposals at which community councils again are given the opportunity to lobby for their projects. Even at this late stage lobbying can be important. This became clear in the fourth year as a community council which had a project deleted by the city manager persuaded the city council to include the project in the application. Modifications made by the city council in the application, however, usually are minor.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN CINCINNATI

Community Council Involvement in Planning

Cincinnati's citizen participation process for CDBG is unique because it has been effectively integrated into the broader planning process for the city's 47 neighborhoods. Though the domain of the Community Development Advisory Council is limited to the CDBG Program, the concerns of the community councils have been more broadly defined. The city encourages the councils to address the comprehensive needs of their neighborhood from housing to transportation.

The planning for neighborhood needs is done through the Community Work Plan. Each year, the community councils spend two or three meetings to draft work plans which identify the needs of their neighborhoods. Staff from the Community Assistance Teams often assist the councils in this process. When the council agrees on the content of its work plan, it forwards it to the Office of Budget, Evaluation, and Research.

The work plan is an account of the needs of the neighborhood. Each plan follows a standard format. The program areas covered are community form (such as land use and zoning), transportation, open space and parks, recreation, housing, economic development, health, public safety, education, special client services and miscellaneous. Under each category, the community council defines its overall goals and specific objectives. For each objective, specific projects are designated. For example, one community council defined as a goal under community form, the preservation of the low density residential character of the neighborhood. Making zoning changes in areas that required protection was identified as the *objective* of the low density goal. Finally, under the *project* category for the goal, the council specified the exact locations where zoning changes were needed, the type of zoning which should be sought, and the target dates for the zoning changes.

When the Community Assistance Teams receive the work plans from all the community councils, they catalog them according to neighborhood and category. The work plans are sent to line departments, which must respond to the work plan of each community council. However, it was found that, because of their number, a response to every proposal would be too time consuming. Therefore, the departments only respond to the items in the work plan which are indicated as priorities by the community council. The departments then evaluate the project and indicate if it is being planned, if funding is available, or if alternative sources of funding may be located.

During the fourth year, the work plan was used by the subcommittees of the Community Development Advisory Council to review CDBG proposals. All pertinent priority items eligible for CDBG funding were to be included in the subcommittees' deliberations. This, however, did not work as expected because the projects in the work plans were often vague and rarely included a price tag. In future years, the city will require community councils to submit a more specific proposal for each priority item in the work plan. This will ensure that projects in the work plan are adequately considered in the development of the CDBG application.

Technical Assistance

The broad planning activity of the community councils has proved successful in Cincinnati, in part, because of the extensive technical assistance that is made available. The primary sources of this assistance are the Community Assistance Teams assigned to each of the quadrants of the city. The teams work out of the

Office of the Assistant City Manager for Community Assistance. Each of the four teams includes three members: a team captain, a physical planner and a human services specialist. The teams work with the councils full-time throughout the year and each team is assigned from ten to 12 councils.

The Community Assistance Teams serve a variety of functions. They provide organizational support by helping community councils develop neighborhood support and run meetings. They also provide planning expertise by helping the council identify projects and design the work plan. The teams act as a liaison between the councils and the city departments, help the neighborhoods monitor projects, and direct them to potential funding sources. The teams played an instrumental role in establishing several neighborhood development corporations that are offshoots of community councils. Finally, the Community Assistance Teams occasionally provide technical assistance to the Community Development Advisory Council when questions concerning specific neighborhoods arise. The team approach allows them to establish a close relationship with the councils and address the comprehensive needs of the neighborhood. Councils thus are able to work with the teams on virtually every problem that arises.

Human Relations Commission

The Community Assistance Teams maintain a very close relationship with the community councils, but do not act as advocates. The Cincinnati Human Relations Commission, a nonprofit organization established to improve race relations in the city, plays an advocacy role with some community councils.

The commission is involved primarily with community councils located in low-income black neighborhoods, where a sound organization is lacking but needed. It is intensely involved with five councils with which it has contracted for services without cost. Specifically, the commission assists the councils in developing a viable organization and base of support. This involves traditional organizing assistance such as leadership identification and development, needs assessment, meeting process, and so forth. The commission also is involved in organizing the Congress of Neighborhood Groups, currently a weak coalition of community councils.

The commission is important to the citizen participation process in Cincinnati because depressed neighborhoods often lack the resources to organize. The commission assists these neighborhoods to mobilize for their own interests. In this manner, it makes citizen participation a viable activity for all members of the community.

JACKSONVILLE

Northeastern Florida

Location

Population: 529,000
23% nonwhite
Median income: \$8,671
5.8% unemployed
14% below poverty level

Community
Socioeconomic
Profile

Mayor-Council. Nineteen council members elected; fourteen by district, five at large in partisan elections. Mayor elected directly.

Form of
Government

Urban Renewal, Neighborhood Development Program, Water and Sewer, Open Space, Neighborhood Facilities

Previous Federal
CD Grants

4th year: \$10,419,000
3rd year: \$10,018,000
2nd year: \$ 6,042,000

CDBG Funding

Department of Housing and Urban Development
Mr. John Van Ness, Director
City of Jacksonville
1300 Broad Street
Jacksonville, Florida 32202
(904) 633-3510

CDBG Program
Administered by

FLORIDA

Neighborhood groups in Jacksonville participate in the CDBG Program by working directly with assigned city staff members and by recommending projects at annual district public hearings. A city-wide Ad Hoc Advisory Committee submits recommendations on the full CDBG budget to the city council. The inability or unwillingness of some neighborhood groups to reduce their dependence on city staff has led officials to search for means outside the city government to increase neighborhood independence.

BACKGROUND OF CITIZEN PARTICIPATION IN JACKSONVILLE

Through a 1968 referendum, the city of Jacksonville and all suburban and rural areas of Duval County were consolidated into a single government structure. Most county government functions were absorbed into the city government increasing the responsibilities and jurisdiction of many city departments. A Department of Housing and Urban Development (City HUD) was created as a line agency of the city responsible for development, public housing, building and zoning, code enforcement, housing rehabilitation, and citizen participation.

Prior to 1968, Jacksonville officials showed little interest in federal categorical programs. An attitude of self-sufficiency and a desire to remain independent of federal control were the basis for the city's general nonparticipation. However, after consolidation in 1969, the city filed its first application for urban renewal funds. Urban renewal areas were designated and Project Area Committees were formed in east Jacksonville and in the Hogan's Creek area. Project Area Committees were generally composed of area homeowners, representatives from churches, and several public housing projects. The committees still are fairly active, occasionally bargaining with the city for particular projects in return for the groups' support of urban renewal plans. However, when the urban renewal areas were substantially cleared, many committee members relocated leaving vacancies on the committee.

Upon learning that urban renewal was to be phased out, city officials began planning for the CDBG Program with funds from the Community Renewal Program. City HUD staff planned a neighborhood-oriented preventive maintenance program for those areas that were stable but lacked city services, or, in the view of department planners, did not conform to principles of good land use. This effort took shape in the form of the Neighborhood Improvement Mechanism.

City HUD staff identified neighborhood boundaries based on historical information, subdivision plots, and community school areas. The staff did not consult with citizens. Neighborhoods were categorized according to their general physical and social condition. The staff conceived of a two-part preventive maintenance strategy: a neighborhood

maintenance program to change service delivery and capital outlay programs from a city-wide to a neighborhood basis, and a strong citizen participation process which involved neighborhood residents in planning.

The program began in 1973 with two pilot neighborhoods, one black and one white, in different sections of the city. There were no active neighborhood organizations in the city and few general civic and community organizations. Several City HUD staff members began contacting citizens in the two areas in an effort to establish neighborhood organizations. The staff did initiate citizen participation in the form of neighborhood organizations. However, it encountered major obstacles in reorienting the delivery of city services and the formulation of a capital outlay program on a neighborhood basis.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

Jacksonville officials conduct citizen participation in CDBG through two separate processes: a direct relationship between city staff and target area neighborhood organizations called the Neighborhood Improvement Mechanism; and a larger city-wide citizen participation process for the entire CDBG budget.

Neighborhood Improvement Mechanism

The city staff expanded the Neighborhood Improvement Mechanism from two to nine target neighborhoods. They select target neighborhoods which have physical development needs and whose residents make initial efforts to organize an advisory group. The latter requirement was incorporated into City HUD's neighborhood policy after a number of neighborhood groups had limited success in sustaining active participation.

Several neighborhood planners are assigned responsibilities for three or four neighborhoods. In areas where there are no existing neighborhood organizations and only a few community organizations (such as girls clubs and athletic associations), planners engage in basic community organizing activities. Neighborhood planners generally work on their own and use various techniques to initiate, organize, and maintain a neighborhood organization. In most cases, community schools are a point of entry to the neighborhood. The schools are used in the evenings for adult basic education classes and have a Local School Advisory Committee associated with them. Planners contact the Local School Advisory Committee and other community organizations (such as athletic associations) to learn the names of active and interested residents and call a neighborhood meeting.

Initial meetings are often chaired by the staff planner. Planners solicit interest in neighborhood problems and assist residents in identifying and planning for neighborhood needs. City HUD staff and neighborhood staff initiate Neighborhood

Improvement Mechanism projects throughout the year. These are funded through a lump sum amount allocated from CDBG funds each year for the neighborhood improvement program.

In some areas, the staff found it difficult to establish their credibility because they worked for the city government. Residents were resentful because several programs planned under Urban Renewal in the early Seventies were never funded by the federal government. They blamed the city for raising expectations by planning programs with residents and then failing to fund the programs. Many citizens could not distinguish between the city's neighborhood organizing efforts under the CDBG Program and Urban Renewal. They were skeptical about whether future programs would come to fruition. While several neighborhoods formed active organizations and increased the scope of their activities, apathy, resentment, and skepticism hampered some efforts to create neighborhood organizations which function independently of city staff leadership and support.

With 11 target neighborhoods the city expects to finish the neighborhood improvement program in three neighborhoods by the end of the fourth year. Neighborhoods in the program receive physical improvements (streets, sidewalks, parks and recreation) as well as social service assistance from CDBG and other funds. City HUD officials established a policy of spending no more than three years of concentrated effort in any neighborhood and of keeping the number of target neighborhoods constant at nine.

Ad Hoc Advisory Committee

A staff-conceived city-wide citizen participation mechanism, the Ad Hoc Advisory Committee, both complements and provides city-wide support for the Neighborhood Improvement Mechanism Program. The committee is composed of 26 to 30 representatives, both elected and appointed, who work closely with City HUD staff and recommend the full CDBG budget to the city council. Two representatives are elected at each of seven district public hearings. In the fourth year, the committee had 28 members. In addition to the 14 elected representatives, ten persons were appointed by the mayor to represent special interest groups, community agencies and organizations; and one person each was appointed from the Hogan's Creek Project Area Committee, the Public Housing Tenants Council and a historic preservation group. The ten representatives of the special interest organizations come from such groups as the NAACP, Chamber of Commerce, AFL-CIO, Catholic Charities, and the League of Women Voters. A new chairperson of the ad hoc committee is appointed annually by the mayor from among the 12 members of the City HUD Advisory Board, which advises City HUD on departmental policies. This appointment procedure is an effort to select a person who will provide leadership to the ad hoc committee.

The ad hoc committee meets frequently during a

two to three month period (usually November to January). The first year, the ad hoc committee met twice a week for three weeks. This schedule has been extended with fewer meetings over a longer period to provide more time for members to absorb information and make decisions. During the fourth year, the ad hoc committee met weekly for three months, with additional meetings scheduled as needed.

Allocation Process

Following publicity in the newspapers in the fall, the city's 14 council districts are paired and seven public hearings are held throughout the city, one in every two districts. Hearings are held in November and December in target areas located within the paired council districts. A televised city-wide public hearing summarizes the recommendations of the seven district hearings.

Suggestions for both city-wide and target area projects are made by target neighborhood residents and others in attendance. Projects are listed on a board at the front of the room, discussed, and ranked by majority vote. After projects are ranked, citizens elect two representatives to serve on the ad hoc committee. In the first year, City HUD staff intended that only one representative would be elected from each of the seven hearings, forming an approximately 20-member ad hoc committee with a two-to-one ratio of appointed to elected representatives. However, at the first hearing held the first year, a district city councilman and several of his constituents indicated their firm intention to elect two representatives. They did so and the practice of electing two representatives at each succeeding hearing prevailed. Those elected often represent the general sentiment expressed in project priorities and are expected to push for those priority projects on the ad hoc committee. Some target neighborhood leaders recognized that one way to get projects funded for their areas is to get numbers of neighborhood residents to lobby for projects at the hearing. City HUD officials recognize that hearings can be stacked by neighborhood or special interest groups in the absence of a residency requirement for representatives and electors. However, no abuse has occurred to date and there are no plans for amending the rules.

The list of specific projects presented at the public hearings is compiled by staff for the Ad Hoc Advisory Committee. The list provides the committee with information on each project's origin, the degree of support it received at the hearings, the particular hearing(s) at which it was proposed, the number of persons voting for the project, and the number of persons attending the hearing.

The committee also receives a tentative budget document listing general areas and particular projects in line item form. The document lists the previous year's expenditures, and, presents several blank columns across the page to be filled in during the course of the process with

comparable line item recommendations from City HUD staff, the mayor and city council.

At the first ad hoc committee meetings, department heads and representatives of governmental and private agencies present project proposals. The committee then evaluates all projects proposed at the public hearings, at committee meetings by departments and agencies, and by City HUD staff. City HUD staff recommendations include a substantial figure for the Neighborhood Improvement Mechanism and for the continuation of basic redevelopment efforts in the urban renewal project areas.

A final budget is prepared with the ad hoc committee and City HUD's recommendations listed side by side. Occasionally, there are small differences between the two sets of recommendations. The CDBG budget, with these differences noted, is sent to the mayor whose staff reviews the proposals and fills in the mayor's recommendations on the document for each line item. The mayor supports the citizen participation process but does not become involved in its day-to-day work. The ad hoc committee's recommended budget is then forwarded to the city council accompanied by a letter from the ad hoc committee chairman, summarizing the composition of the committee, the effort it put into deliberations, and its rationale for including or excluding certain items. The City HUD director, the ad hoc committee chairman, and perhaps several committee members, appear before two subcommittees of the council designated to review the CDBG budget. They also may appear before the full committee which recommends the budget to the 19-member council. The council modifies or approves the CDBG budget. Where there are differences between the citizens and City HUD staff, the council generally agrees with the citizens. In the first two years, few or no changes were made. In the third year, several council members had an interest in ensuring that their districts received a certain portion of recreation projects. The council approved neighborhood recreation projects not recommended by the committee. However, they accepted the committee's recommendations in all other areas.

The ad hoc committee has very little involvement with the implementation of CDBG projects. Neighborhoods rely on information and assistance from the neighborhood planner in monitoring projects. They also may call on their city council representative who may be able to push a project along by contacting city departments.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN JACKSONVILLE

Televised Public Hearing

An eighth public hearing, a city-wide forum which presents the recommendations of the other seven, is televised by a local television station. During the first and second year of CDBG, the first

hearing was televised to stimulate interest. Televised public meetings in Jacksonville are a frequent occurrence, with all city council and school board meetings receiving coverage. These televised sessions are a prime source of information about local government for many Jacksonville citizens.

Staff Support for the Ad Hoc Advisory Committee

The top level City HUD staff including the director, attends Ad Hoc Advisory Committee meetings. City HUD staff functions in an advisory and support capacity. Staff usually offers information and recommendations only when asked. Staff alerts the ad hoc committee early in the process of any differences and the reasons for them between City HUD's and the ad hoc committee's CDBG recommendations. The City HUD staff also advises the committee on how to present its recommendations to the council. Citizens bring neighborhoods and city-wide redevelopment needs before the council indicating citizen support for both neighborhood and departmental priorities.

Expanding Role of the Ad Hoc Committee

The citizen participation plan was formulated the first three years by staff. Prior to the fourth year, City HUD staff consulted with the committee on the form of the fourth year process. While no major changes occurred, it indicated the increasing scope of the committee's interests.

With CDBG as the major source of capital revenue, the committee has been confronted with a demand for recreation projects from the Recreation Department and some members of council. To resolve this problem, the Ad Hoc Advisory Committee, with the support of City HUD staff, has recommended in its fourth year proposals that the council propose a recreation bond issue to provide capital funds for recreation projects.

Staff Support of and Outreach to Neighborhoods

City HUD has committed staff time and CDBG funds to initiate neighborhood advisory groups through the Neighborhood Improvement Mechanism. These target neighborhoods have had substantial influence in defining their needs and in selecting appropriate CDBG projects. Several neighborhoods, working directly with city staff, developed a range of activities and an active leadership. However, other neighborhood groups remain dependent on City HUD staff for such basic tasks as phoning residents to inform them of neighborhood meetings. In January, 1978, City HUD staff was seeking ways to organize neighborhoods and to provide them with information and technical assistance which will place neighborhoods in a position independent of city staff.

Film

City HUD produced a short color film on the Neighborhood Improvement Mechanism Program in Jacksonville to publicize the program and demonstrate to other neighborhood residents the ways in which they could organize and plan for their areas. It circulates a copy of the film to interested groups.

OAKLAND

Central California, near coast

Location

Population: 362,000
41% nonwhite
Median income: \$9,626
11.7% unemployed
12% below poverty level

Community
Socioeconomic
Profile

Council-Manager. Nine-member city council elected at large in nonpartisan elections. Seven members each represent one of seven electoral districts. An at large representative and the mayor also serve on council. The mayor is elected directly.

Form of
Government

Urban Renewal, Neighborhood Development Program, Model Cities, Water and Sewer, Open Space, Neighborhood Facilities

Previous Federal
CD Grants

4th year: \$11,000,000
3rd year: \$12,124,000
2nd year: \$12,738,000

CDBG Funding

Office of Community Development
Mr. David Hoard, Director
1333 Broadway
City Center Plaza
Oakland, California 94612
(415) 273-3348

CDBG Program
Administered by

CALIFORNIA

Citizen participation in Oakland's CDBG Program stems from experience under the Model Cities and Urban Renewal Programs. The CDBG Program's citizen participation process provides resident participation through organizations in seven target neighborhoods, while simultaneously conforming to strong policy guidelines from the mayor, city council and a city-wide advisory group, and to the technical advice of professional administrators.

BACKGROUND OF CITIZEN PARTICIPATION IN OAKLAND

The issues of citizen participation and community control in Oakland have been the subject of many academic studies. During the Sixties, several social service agencies intensified efforts to increase citizen action. The Oakland Model Cities program typified the conflict between residents of Model Cities neighborhoods and administrators across the country. The Model Cities program was in West Oakland, which was also the site of the Community Action Agency's operation and extensive urban renewal efforts. The Model Cities board, called the West Oakland Planning Committee, was composed of two delegates from all organizations which operated in West Oakland. In addition, representatives were chosen in elections held in West Oakland. By 1968, 165 organizations belonged to the West Oakland Planning Committee. The committee exerted considerable control over expenditures of Model Cities funds through a "dual green light" policy. The policy required that both the city council and the committee approve any action affecting the West Oakland neighborhood. The Oakland City Council is made up of members who represent the districts in which they live but are elected at large. Minority membership has historically been small, despite the city's large minority population. Because Oakland has a Council-Manager form of government, the council defines general policy only, leaving more specific policy decisions to the city manager.

West Oakland has had two urban renewal projects: one clearance project which resulted in the construction of multifamily housing, and one housing rehabilitation project in a 56-block area. The homeowners' group in the rehabilitation area still functions as a neighborhood association and Project Area Committee independent of the West Oakland Planning Committee.

Oakland's major urban renewal projects were to revitalize the downtown. A citizens' group, the Oakland Citizens Committee for Urban Renewal (OCCUR) was formed in the early Sixties to advise the city on the renewal program. Its members, appointed by the mayor, were representatives of the business community. In 1968, there was racial turbulence in Oakland following the death of Martin Luther King, Jr. When black groups filed an administrative complaint with HUD to cut off Oakland's urban renewal funds, HUD required the city to change its citizen participation process.

Consequently, the city set up a task force, which consisted of representatives from community groups, Legal Aid attorneys, the Planning Commission and similar organizations. The task force concluded that OCCUR should be reconstituted. OCCUR thus became an elected organization with two representatives from each city council district and six at large members. OCCUR, which was representative of low-income and minority residents of the city, received funds for a staff in 1971. By the time the CDBG Program was initiated, active citizen Project Area Committees were advising the city in several areas.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

In 1974, OCCUR was hired by the city to propose a plan for meaningful citizen participation in the CDBG Program. With the assistance of neighborhood groups across the city, OCCUR developed the citizen participation structure which was adopted by the city council in May, 1975. It includes councils in seven target areas and a Community Development Advisory Commission which recommends an annual CDBG budget to the city council. The process is directed toward "building a partnership for change," as opposed to the Model Cities-style political adversary process.

District Councils

The boundaries for the seven low- and moderate-income districts were determined by the Oakland Redevelopment Agency, OCCUR, and neighborhood groups. These boundaries generally correspond with existing natural, historic and census tract boundaries, but do not correspond to city council districts.

The city contracted with OCCUR to assist in the development of district councils. The city council resolution which established the citizen participation process stated that anyone who works, lives, operates a business, owns property, or represents an organization in a district may participate in the district council. With this restriction, a steering committee in each district wrote bylaws for its own district council.

District councils differ in organization. For example, in North Oakland only representatives of organizations may vote; 56 organizations are represented in the district council. In Chinatown/Central District, a 21-member board is elected by those who attend an annual meeting. In Fruitvale and Elmhurst, the districts are divided into precincts, which in turn elect representatives to the district councils. Each district council has the assistance of a district coordinator from the Office of Community Development. The district coordinator attends all meetings and acts as liaison between the city government and the neighborhood. The office performs clerical tasks for the districts and provides them with information

and technical support.

The district councils consider everyday problems of government services; their main purpose, however, is to provide neighborhood advice for planning and implementing the CDBG Program. Each district council identifies specific projects and submits requests for funding. Requests are generally submitted through the district coordinator and processed through a special review (administrative process 3002), permitting each city department concerned with a project to review it. If the project is acceptable to the department, the department staff estimates its cost. The coordinator then brings the project request before the Community Development Advisory Commission for inclusion in the CDBG budget.

Chairpersons of District Councils

The seven district council chairpersons meet regularly to discuss issues common to them. OCCUR coordinates these meetings. The chairpersons constitute a small group with whom the city bargains about district issues. The chairman of the chairpersons usually attends advisory commission meetings.

Community Development Advisory Commission

Originally established as an 11-member body, the Community Development Advisory Commission was recently reduced to seven members who are more representative of community development district residents than the previous commission. Members are appointed by the mayor and approved by the city council. With the assistance of the Office of Community Development, the commission is responsible for developing a recommended CDBG budget each year. The Office of Community Development prepares agendas, collects background data and information, and transmits the commission's recommendations to the city council. The commission meets twice a month and quarterly in one of the seven districts. The commission has three committees which meet regularly to consider issues related to rehabilitation, economic development, and social programs and program evaluation.

Application Process

Planning for the CDBG Program begins nine months before the application is submitted to HUD and over 12 months before the program year begins. The Office of Community Development prepares a calendar of meetings for the Community Development Advisory Commission's review. After approval the calendar is distributed for public comment. The Office of Community Development, through the district coordinators, invites the district councils to submit proposals for CDBG funds. The staff, the commission, the district councils, and the chairpersons hold meetings throughout the year to develop project

recommendations. The commission reviews the information and prepares a draft application. The city council examines the draft and holds two work sessions and a public hearing to discuss it. The commission holds a public hearing on the first draft application and another meeting to allow chairpersons, district council members and departments to comment on the proposed budget. After several additional meetings, the staff prepares a second draft application, whereupon the city council holds another public hearing. The second draft is amended, if necessary, and submitted for environmental review.

According to city staff, the nine-month span of citizen involvement in planning CDBG activities may prevent some citizens from becoming active. The long lead time does, however, give citizens an opportunity to develop complete proposals.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN OAKLAND

CDBG Calendar

With citizen approval, the Office of Community Development each year publishes a calendar of activities in the citizen participation process. The widely circulated calendar allows people interested in the CDBG Program to know in advance when the important decisions will be made and to plan their strategies for intervening in the application process.

Input Summary

In late August, before the first draft is written, the Office of Community Development writes a summary of proposals submitted for CDBG funding, listing the proposal initiator and the expected project cost. This summary is distributed to staff, district councils, the commission and the city council before the first draft budget is written. As a result, all proposals are made public and are open to discussion.

Two-draft Process for Development of Application

By preparing two distinct draft CDBG applications, one before a city council public hearing and one after the hearing but before the second public hearing, the Office of Community Development opens the process for comment. Citizens can see if their comments have been incorporated in the drafts. Since the first draft is not a final document, the staff, the Community Development Advisory Commission, and the city council are more likely to listen to comments and make revisions. The first draft is given to district councils to discuss and vote on suggested changes.

Cooperation among District Councils

Neighborhood competition is minimal. Districts have usually agreed to disperse federal aid to the target areas. Previously, funds had been concentrated in West Oakland. Though no "fair share" policy for distribution of funds exists, the amount of money given to each district is somewhat balanced. Several factors contribute to the lack of neighborhood competition. First, while the chairpersons of the district councils and leaders in the neighborhoods are advocates for their neighborhoods, they are also familiar with the problems in other areas. Second, in several cases where competition could have been volatile (for example, the location of a single city-wide facility), the city commissioned needs studies which added impartial statistical evidence to support one location over others.

District Council Role in Monitoring and Evaluating

The district councils watch to ensure that money is spent properly. Often, the district coordinator receives criticisms of the workmanship or scheduling of projects. In one case, the district council monitored invoices for all expenditures on a neighborhood park project. No established

mechanism exists for checking or evaluating, so it occurs on an ad hoc basis.

Administrative Review Process

An administrative process (known in Oakland as 3002) requires that each city department concerned with a particular proposal review it. The process guarantees that the community development staff is aware of what all city departments are planning and vice versa. This facilitates increased communication between city departments and enables the community development staff, which has regular contact with citizens via the district councils, to provide increased information to residents.

Role of OCCUR

The Oakland Citizens Committee for Urban Renewal serves as a coordinator of citizen opinion on all city policy and programs, and operates as an independent citizens' lobby. The organization receives CDBG funds as well as other public and private money. In the past, the Community Development Advisory Commission recommended that OCCUR not be funded because they could not agree on its future role, but the city council restored its funding. OCCUR's unique perspective has helped shape Oakland's CDBG Program.

OMAHA

Eastern Nebraska

Location

Population: 348,000
11% nonwhite
Median Income: \$10,208
3.9% unemployed
7% below poverty level

Community
Socioeconomic
Profile

**Mayor-Council. Seven-member council elected at large in
nonpartisan elections. Mayor elected directly.**

Form of
Government

Water and Sewer, Open Space

Previous Federal
CD Grants

4th year: \$5,226,000
3rd year: \$5,178,000
2nd year: \$3,088,000

CDBG Funding

Department of Housing and Community Development
Mr. John C. Campbell
Omaha Douglas Civic Center
1819 Farum Street
Omaha, Nebraska 68102
(402) 444-7000

CDBG Program
Administered by

NEBRASKA

Citizen participation in the CDBG Program in Omaha evolved into an informal process primarily between the city's housing and community development staff and neighborhood organizations. The city has abandoned a three-tiered citizen participation structure in favor of a direct relationship between city staff and neighborhoods.

BACKGROUND OF CITIZEN PARTICIPATION IN OMAHA

Omaha has a long history of community development activities and a tradition of informal citizen participation. Through federal programs, the city built low-income public housing in the Thirties, the Fifties, and in the mid-Sixties. However, voters defeated proposals to participate in the federal Urban Renewal Program three times, in the Fifties and the mid- and late-Sixties.

In 1965, Omaha began a comprehensive city-wide study of housing and community development needs. To advise on the study, the mayor appointed a committee of 144 citizens from community clubs, neighborhood groups, and downtown businesses. The committee recommended a multifaceted program to halt the rapid deterioration of the eastern half of the city. Committee attendance, however, began to wane and finally dwindled to a core of seven who voted to disband. Most of the proposals recommended by the Community Renewal Program were not implemented. However, the Office of Neighborhood Development and Improvement was established in the city government to work with neighborhood groups and a Concentrated Code Enforcement Program was implemented in two sections of Omaha.

In the early Seventies a group of citizens concerned with civil rights issues offered their assistance to the city to plan for the redevelopment of Omaha's blighted areas. The result was the formation of an Ad Hoc Committee with a working group of about 30 citizens. The committee included representatives from the Planning Department, the City Attorney's Office and the Office of Urban Resources, a successor agency to the Office of Neighborhood Development and Improvement. It focused on problems of inner city redevelopment and low- and moderate-income housing. The committee divided into subcommittees (such as zoning, land use, real estate, and financial institutions) and prepared a report. It obtained a commitment from a mayoral candidate to create a city agency to address problems in these areas. When that candidate was elected mayor, he created a new Department of Housing and Community Development, which included the Office of Urban Resources, and charged it with carrying out development activities including citizen participation.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

Initial Citizen Participation Process in CDBG

In 1974, the city council approved a Community Development Master Plan which divided the eastern half of Omaha into eight planning areas, each with its own council of neighborhood officers. The department formulated an elaborate, formalized mechanism for receiving and ranking citizen proposals. Neighborhood groups and citizens in a planning area presented proposals to the Planning Area's Citizen Council. The area councils were responsible for working with smaller neighborhood groups in planning projects as well as in solving other neighborhood problems. The councils elected a chairperson, vice-chairperson, and a secretary. A housing and community development staff member, called a "community developer," was assigned to work with the councils, manage existing neighborhood projects, and serve as a planning coordinator and technical advisor for new proposals.

Each area council recommended priorities (usually its top two) to a city-wide Community Development Advisory Committee. The chairperson and vice-chairperson from each area council served on the advisory committee. Nine other members, representing the elderly, the handicapped, business, real estate, and the city at large were appointed to the committee by the mayor on the recommendation of the Housing and Community Development Department.

Area councils held meetings approximately twice a month to select final project priorities. The city-wide advisory committee met as needed, though at least five meetings were held during the year.

Transition

In light of the city's history of informal citizen participation efforts in a variety of program areas, citizens, departmental staff and the city council recognized that this formal process was not satisfactory for Omaha. Most neighborhoods were interested in funding their own needs. Few citizens who served on the advisory committee developed a view of and concern for the whole city. There was also a feeling that the area councils were intervening structures restricting the direct access of neighborhoods to city staff.

In 1976, a new director of the Housing and Community Development Department brought a change of philosophy and structure to citizen participation in Omaha's CDBG Program. With a background in the city's Planning Department, the director was experienced in neighborhood planning with neighborhood groups. He was respected by the neighborhoods for these efforts as well as for directing a massive relief effort following a disastrous tornado in Omaha in 1975.

In a presentation to the Community Development

Advisory Committee, the director detailed the weaknesses of the existing participation process and suggested a new structure. After discussion and preparation of a new citizen participation plan by staff, which incorporated many citizen suggestions, the advisory committee approved the new plan and voted to disband.

Process In The Third And Fourth Years

The new citizen participation plan specifies three city-wide public hearings be held through a five-month allocation process from September to January. The first is held in mid-September, the second in mid-November, and the third in early January. At the first public hearing, staff informs citizens about the CDBG Program in general, the eligible activities, and the amount of money available in light of previously committed funds. The staff provides details on the technical assistance available from city departments, particularly in the preparation of an application. In the first year of the new process, approximately 50 people attended the first hearing. However, the information was already available to the public through letters, flyers, or word of mouth from housing and community development staff and other citizens.

The second public hearing is held in mid-November on two consecutive nights. It is dedicated entirely to the presentation of proposals by neighborhood and other citizen groups to the mayor, the housing and community development staff, and a few city department heads and members of the city council. Neighborhoods call the department in advance of the hearing to reserve a place on the agenda (ten minutes for new proposals and five minutes for carry-over projects). A list of all presentations to be made is given to those attending the hearing. Neighborhood groups formally present their proposals and usually distribute copies to city officials in attendance. Proposals often use data and technical assistance given by housing and community development staff. They are presented before several hundred citizens and usually take two evenings to present.

After these hearings, the proposals are numbered sequentially, indexed, and bound in a single volume which is circulated within the Housing and Community Development Department and to other department heads. Priorities are assigned to projects by the departmental staff in coordination with other department heads and the mayor. The mayor presents the recommendations to the city council approximately one month later.

In early January, a third public hearing on the recommended projects is held by the city council. At that time council makes the final allocation decisions. The third year, the council approved over 90 percent of the administration's (mayor/department/neighborhoods) recommendations. In the fourth year, the city council accepted all recommended projects and tentatively approved additional projects presented by citizens at the second hearing. Almost \$2 million of Omaha's \$5

million CDBG allocation was committed to a downtown mall project begun under the Open Space Program. Over the mayor's objection, the council reallocated a portion of these designated CDBG monies to fund other projects recommended by neighborhoods.

Neighborhood Groups

Several neighborhood groups existed in Omaha prior to the CDBG Program. One group in a small black neighborhood began to organize shortly after the city's 1965 riots. It began cleaning up the neighborhood and had vacant, decaying structures demolished. After years of effort, some moderate-income housing was built. The city is currently pursuing a homeowner rehabilitation and renovation program in the area.

In another black neighborhood that recently had undergone transition from a white, middle-class area, residents realized that they didn't know their neighbors. Concern over the crime and vandalism plaguing the neighborhood sparked organization.

In a third area, residents used city staff assistance and their own talents to form a neighborhood development corporation to engage in housing rehabilitation, to keep vacant lots cleared, and to advertise their neighborhood among realtors and others as a desirable place to live. Other groups have fought, although often unsuccessfully, to improve city services and get capital projects in their areas.

In general, neighborhood groups are organized on the issue of improving their neighborhoods. The visible effects of CDBG monies and an increase in the housing rehabilitation program buoyed attendance at some neighborhood meetings.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN OMAHA

Staff Openness and Advocacy

Omaha's citizen participation process relies on the openness and cooperation of the housing and community development staff and its advocacy role for neighborhood organizations and interests. The department director must maintain honesty, credibility and visibility in the neighborhoods and in the city government. Much rests on his personality and leadership. An assistant to the director, who is directly responsible for citizen participation, keeps in close contact with neighborhood organizations and city departments.

Community developers, the department's field staff persons, are assigned to each active neighborhood group. The flow of citizen information and suggestions passes through the community developers, the director's assistant, and other city department heads and staff who answer citizen inquiries and provide technical assistance to neighborhoods. The quality and sincerity of these contacts are critical in maintaining the integrity and credibility of the citizen participation process.

Departmental Cooperation

In general, departmental cooperation did not exist in the first two years of CDBG. The Housing and Community Development director used the mayor's cabinet meetings to emphasize the importance of departmental coordination with the neighborhood unit. The Housing and Community Development Department has been able to gain the cooperation of other city departments and help "link" them into this citizen participation process. One administrative technique which helped the department channel citizen inquiries was the establishment of an action response team by the mayor's office. The mayor's staff compiled a list of individuals in a particular department who could be called to get something done. For example, if a neighborhood organization president or any citizen called Housing and Community Development about getting a truck to pick up trash collected from several alleys, the list would suggest who might be called to ensure effective action.

Encouragement of Neighborhood Organization

The city's philosophy of community development is to encourage neighborhood volunteer efforts, realizing that CDBG monies fall short of what is needed. The Housing and Community Development Department does not pay neighborhood staff nor does it contribute seed money to neighborhood organizations. In cooperation with the neighborhood-oriented planning department, the department organized one group in a declining area in the city and has actively encouraged and supported other neighborhood groups with technical assistance and general staff and clerical assistance. A departmental newsletter, (originally an internal

staff circular), is distributed regularly to neighborhood organization leaders and active citizens. Memos and other letters are frequently sent to neighborhood organizations, freely providing information on topics important for neighborhoods and generally informing them about city government. Public hearing publicity appears in local papers as well as through the informal staff-neighborhood network. A "Neighborhood Notes" column, which publicizes various neighborhood organization activities, appears twice weekly in the major local paper. The previous mayor and his department heads held several "Town Hall" meetings, inviting questions and problems from neighborhood residents. The current mayor has indicated that he will continue this practice.

Neighborhood Planning

The Omaha City Planning Department was planning with neighborhoods long before the CDBG Program began. A relatively small department, it hires professional personnel on an internship basis and introduces interns to its own approach to planning. Consequently, the department as a whole shares a common perspective and engages in neighborhood based planning in a cooperative mode with neighborhood residents. The sensitive step-by-step manner in which neighborhood planners plan *with* rather than for neighborhoods supports and reinforces the efforts of other city staff members working with neighborhoods. Planners help neighborhoods get these neighborhood plans approved by council. The plans are then general guides for CDBG as well as other funding. They also must be meshed with the Community Development Master Plan passed by city council in 1974 and revised in 1977.

ST. PAUL

Southern Minnesota

Location

Population: 310,000
5% nonwhite
Median income: \$10,544
5.6% unemployed
6% below poverty level

Community
Socioeconomic
Profile

Mayor-Council. Seven-member council elected at large in partisan elections. Mayor elected directly.

Form of
Government

**Urban Renewal, Neighborhood Development Program, Model Cities,
Open Space, Neighborhood Facilities**

Previous Federal
CD Grants

4th year: \$14,862,000
3rd year: \$18,835,000
2nd year: \$18,835,000

CDBG Funding

Planning and Economic Development Department
Mr. William Q. Patton, Director of Community Development
366 City Hall Annex
St. Paul, Minnesota 55102
(612) 298-5586

CDBG Program
Administered by

MINNESOTA

Citizens, elected officials, and the city staff created a citizen participation process that integrated existing citizen groups and created an atmosphere of understanding and compromise among citizens. St. Paul initiated a unified mechanism for citizen involvement in all capital investment decisions. It developed a mechanism to inform citizens regularly about a broad range of issues. Furthermore, it used neighborhood-based planning to encourage active citizen participation in comprehensive planning decisions.

BACKGROUND OF CITIZEN PARTICIPATION IN ST. PAUL

St. Paul, a twin city of Minneapolis, has a progressive tradition of wide participation in political parties, labor unions, citizen commissions and boards, and other volunteer organizations which formally or informally influence city policy. Community-based organizations grew in St. Paul's lower-income communities in the mid-Sixties in response to federal community action and neighborhood development programs. Neighborhood associations developed in the late Sixties to preserve middle-income neighborhoods.

In the Sixties, a Minnesota law required that each city in the state form a citizen committee to review capital improvement projects funded by the city's sale of state-authorized bonds. The state legislature specified that the committee in St. Paul must have twelve members, one from each of the city's state legislative districts. The CDBG citizen participation process later became part of citizen review of the city's capital improvement budget. To meet citizen participation requirements of the Housing and Community Development Act, the city organized a citizen forum in January, 1975. The mayor appointed members of organized neighborhood groups, city-wide civic organizations, and Neighborhood Development Program Project Area Committees to serve on the forum. The citizen forum proposed highly structured and well-funded district organizations, but others in the city favored a less defined and less costly process. Public hearings to discuss the forum's proposal produced heated debate. Participants formed a committee to negotiate a compromise with the finance committee of the city council. Many groups, including labor union representatives, the Chamber of Commerce, neighborhood and city-wide organizations, took part in the debate which produced the present citizen participation process.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

Citizen participation in St. Paul's CDBG Program is part of an integrated capital improvement planning, programming, and budgeting process. The "Unified Capital Improvement Program and Budgeting Process," which includes the programming of CDBG money, has several access

points for citizens: the district councils, the Long Range Capital Improvement Budget Committee, and its four citizen task forces.

District Councils

St. Paul's general district planning process divides the city into 17 areas with district councils acting as the formal citizen voice of most districts. Each district includes several neighborhoods. District lines were determined by the Office of City Planning with advice from an ad hoc housing committee of community organizers. Planning districts are not congruent with legislative districts. In some districts a strong neighborhood organization existed prior to the general district planning process. In other districts, several groups of residents, businesses, or social service organizations were active. Still other districts had no organized group of any kind.

The city established a ten-step process for recognizing district councils. The steps include agreement on district boundaries, development of bylaws, one neighborhood public hearing, and a city council public hearing on the proposed structure of the district council.

Each district defines the goals of its district council and tailors the organization to the needs of the district. For example, one district was divided into five precincts, and each precinct held elections for district council seats. One week after the elections, other members were elected at large from those at the meeting. In another district, the district council appointed additional members to ensure that all geographic, ethnic, and income sectors were represented. Residents and business organizations selected representatives to serve on the district council in at least one district. Elsewhere, two strong neighborhood associations, which chose not to combine as a district council, each attempt to represent one district.

District councils are helped by the citizen participation coordinator, a staff person in the Planning and Economic Development Department, who has been instrumental in encouraging citizen organization and involvement. Each district council also receives money from the CDBG budget for organization and communications. Budgets range from \$7,500 to \$35,000 per district. Many districts also receive funding from other sources such as the United Way and local churches. The district councils determine how to allocate their budgets; most have used the money to hire staff. Depending on their budgets, districts hired from one to four community organizers and other workers. District councils cannot predict their budgets, nor can they explain why they get the amount of money they do. This problem has increased as the district councils have taken on more responsibilities, because their ability to carry out increasingly technical work is more dependent on their paid staff assistance.

The city's decision to leave the organization of district councils to the districts had resulted in some difficulties. Councils may be set up in an unrepresentative or impractical manner. For

example, one district council was able to generate what appeared to be a neighborhood consensus about a particular issue with only a small percentage of residents represented. There are no prescribed standards for conducting meetings and elections and therefore no assurances that they will be conducted in an organized manner. Despite potential problems, city staff and council support self-determination of operating procedures because they believe each district council is unique.

General District Plans

With the assistance of district residents, the Office of City Planning develops long range plans to consider physical, social, and economic needs of each district. A district council appoints a committee to write a preliminary plan which is published in the neighborhood newspaper and mailed to district residents. The district council then holds meetings and workshops to discuss the plan. After considering the comments, the planners and citizens rewrite the plan for the district council's approval. The planning commission and city council review the district plan and officially adopt, modify, or reject it as part of the city's comprehensive plan. It is anticipated that district plans will be revised every five years.

This long range planning process is a means for citizens to initiate positive change rather than merely react to proposals and plans formulated by others. It also provides for the development of district priorities in the yearly CDBG Program.

Other District Activities

District councils meet monthly to consider issues facing the neighborhoods. They receive notification and respond to city initiatives in their areas. They also are well-informed of zoning, liquor license applications and public works projects by means of the Early Notification System, a procedure which requires that city departments notify citizens about intended city activities.

The state and the metropolitan council also look to district councils for neighborhood advice on state and regional activities. The district councils' role in the community requires that formerly single-issue groups take positions on all district activities. While crisis reactions to major events persist at the neighborhood level, the presence of an alert core of citizens has opened channels for negotiation and compromise.

The working relationships of city departments and district councils, although not always satisfactory in the past, are improving. Politicians in St. Paul believe departments will learn to consult with district councils because failure to do so can lead to strong opposition to city projects.

The Long Range Capital Improvement Budget Committee

The Capital Improvement Budget Committee is a 12-member body of citizens appointed by the

mayor. It has three citizen task forces: community facilities, streets and utilities, and residential and economic development. Each task force is composed of 17 members, one appointed by each district council and approved by the budget committee.

District councils, city departments, and private agencies and organizations file requests for CDBG funding to the Capital Improvement Budget Committee, which assigns each proposal to the appropriate task force. District council proposals must conform with the district plans, if they are completed. District councils receive assistance in writing proposals from their community organizers and district planners. The Planning and Economic Development Department reviews proposals to determine eligibility for CDBG funding or funding from other sources, and furnishes the neighborhoods with this information.

Task forces establish a schedule of meetings, during which citizen organizations, and city and agency staffs make presentations to support their proposals. For two months after these presentations the task forces rank each proposal according to a rating sheet developed by the city staff. The rankings are presented to the budget committee which develops a recommended set of priorities for the planning commission, the mayor, and the city council after a public hearing. The planning commission, the mayor, the finance committee of city council, and the full city council review the proposed priorities and hold public hearings. The final CDBG and capital budget are prepared for the mayor and city council by the Planning and Economic Development Department and the mayor's budget office.

The district's set priorities for the expenditure of CDBG funds and other capital improvement money. While not all projects on which districts place high priority are funded, the citizen participation mechanism has been successful in creating understanding as to how and why the final budget is formulated. Often, districts which do not receive their priorities one year will bargain for them the next year. The budget committee makes final recommendations of budgeted items, which are largely accepted by the mayor and city council.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN ST. PAUL

Information Dissemination

Early Notification System

The Early Notification System was established by a city council resolution in 1975. The city-to-neighborhood communication system, which originated in the citizen forum, was organized to provide information to citizens on city activities. It requires each city department to notify a district council and concerned agencies and residents 30

days in advance of a decision on matters concerning the district. Minutes of meetings, zoning appeals, license applications, and other notifications are sent to a continually updated mailing list. Organizers and residents feel that the system is essential to understanding the city's intentions, and preparing timely neighborhood responses.

Neighborhood Newspapers

St. Paul has strong neighborhood newspapers, almost one per district, which are the major communication link between district councils and the public. Most district councils or neighborhood groups purchase monthly advertisements about activities, issues, or elections. Some district councils founded their own newspapers; others were started by individuals. Some receive small subsidies from CDBG funds, but most revenues come from the sale of advertising space. However, most are operating at a loss.

Citizen Involvement in Evaluation

Every year an ad hoc citizens' advisory capital improvement committee, consisting of 12 members appointed by the mayor and approved by the city council, evaluates the previous year's citizen participation process and makes recommendations for procedural changes. This procedure allows citizen advice on modifying the citizen participation process and makes sure that changes are made public.

While citizens play no formal role in implementing the CDBG Program, information about projects is made available to them. The Planning and Economic Development Department

publishes the Annual Performance Report for the CDBG Program in summary form. This status report states basic information about every project funded under CDBG. It summarizes funded projects, how much of the budgeted money has been expended, and the problems encountered. The summary is sent through the Early Notification System, as are major budget changes, revisions, or amendments.

Representativeness

Each district tries to create district councils representative of the population. While only 15 to 20 people serve as council members in each district (which may include as many as 26,000 people), communication with the rest of the district—via newspapers, the Early Notification System, and direct mailings—is so regular that there are many well informed people. St. Paul's small black and Mexican-American population is well represented on the district councils and on budget committee task forces. Furthermore, each district tries to involve local business people in the district councils.

The budget committee's task forces are nominated by the district councils and approved by the Capital Improvement Budget Committee. One representative from each district serves on each task force. The twelve-member budget committee is appointed by the mayor, and does not include a representative from each district. As a result, some districts do not have an advocate when final recommendations are made. However, in 1977, the Minnesota Legislature increased the size of the Capital Improvement Budget Committee from 12 to 18 members. This will allow each district council to be represented on the committee.

**Citizen Participation in Cities
of Between 100,000 and 250,000**

ALLENTOWN
PENNSYLVANIA

ANCHORAGE
ALASKA

DES MOINES
IOWA

FLINT
MICHIGAN

FRESNO
CALIFORNIA

KANSAS CITY
KANSAS

LINCOLN
NEBRASKA

SPOKANE
WASHINGTON

TACOMA
WASHINGTON

ALLENTOWN

Eastern Pennsylvania

Location

Population: 110,000
2% nonwhite
Median income: \$9,658
6.5% unemployed
6% below poverty level

Community
Socioeconomic
Profile

Mayor-Council. Seven-member council elected at large in partisan elections. Mayor elected directly.

Form of
Government

Urban Renewal, Neighborhood Development Program, Open Space

Previous Federal
CD Grants

4th year: \$2,805,000
3rd year: \$2,426,000
2nd year: \$2,426,000

CDBG Funding

Department of Community Development
Mr. William Hansell, Director City Hall
435 Hamilton Street
Allentown, Pennsylvania 18101
(215) 437-7511

CDBG Program
Administered by

PENNSYLVANIA

A committee of citizen volunteers in Allentown developed and implemented a decentralized, neighborhood-based citizen participation process. Originally intended for the Community Development Block Grant Program, the process functions separately from CDBG. After careful planning, citizens, largely independent of city staff, successfully executed a strategy for organizing neighborhoods, particularly in areas where no neighborhood organizations existed. At the conclusion of 18 months of work, the committee established the Community of Neighborhood Organizations to support these growing neighborhood groups and provide a forum for their representatives to raise a variety of neighborhood issues at the city level.

BACKGROUND OF CITIZEN PARTICIPATION IN ALLENTOWN

Allentown is a medium-sized, northeastern city which has experienced deterioration and blight in both commercial and residential sections of its downtown area. A substantial portion of the city's housing stock is more than forty years old. However, the city's neighborhoods are small and generally stable. Many residents retain their ethnic identity.

Allentown has participated in federal community development programs for over 20 years. The city's Urban Renewal and Neighborhood Development projects directed by the Allentown Redevelopment Authority, have included major acquisition, clearance and reconstruction activities in the downtown areas, and acquisition, preservation, and public facility improvement activities in two deteriorated central city neighborhoods.

Prior to CDBG, citizen participation in these activities occurred through a Project Area Committee for downtown redevelopment and a Citizen Advisory Team of residents in the two neighborhoods. Completion of downtown Urban Renewal plans and implementation of multiyear revitalization plans in the two neighborhoods have consumed nearly all of Allentown's CDBG funds in the first four years of the program.

Several other neighborhood organizations existed prior to 1975. These organizations exerted pressure on the mayor and city council to improve services for their areas.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

The mayor and the Community Development Department held five public hearings in different locations of the city as the citizen participation component of the first-year CDBG application. City officials sought to expand the citizen participation process in the second year.

In the summer of 1975, midway through implementation of the first-year program, the department contacted approximately 50 cities, soliciting information on the structure and

operation of their citizen participation processes. While admiring many of the approaches, Allentown officials wanted to avoid the experience of one city whose citizens had rejected a city-formulated plan. Officials decided to ask citizens to devise a plan for participation.

Establishment of a Citizen Committee

To begin to fashion a citizen participation process, the mayor and the community development director held four meetings with citizens in July, 1975. The informal meetings, billed as "Let's Talk," were advertised by posters and through church, newspaper and radio announcements. The city also sent invitations to particularly active citizens and enclosed reply postcards. Between 60 and 70 people attended each meeting. Those attending were among the most active citizens in the city, often associated with a social agency, civic or community organization.

The mayor and community development staff explained the Housing and Community Development Act and the need for citizen participation. They enumerated existing mechanisms in Allentown and described how several other cities were going about citizen participation. Officials stressed the need for communication between neighborhoods and city hall prior to official actions. During the meetings, officials solicited volunteers for an ad hoc committee that would recommend a citizen participation plan. Despite skepticism about the city's seriousness, 64 people signed up for the committee and more than 40 attended its first meeting.

The mayor continued to recruit other citizens for the committee, especially business and professional people and eventually appointed all who had either volunteered or been recruited. A core of between 20 and 30 people carried out the committee's work.

At first, the mayor met with the committee. An agreement had been reached that a chairperson would be elected at the sixth meeting. However, when the mayor was absent at the third meeting, the committee elected its own chairperson and from then on began to chart a course increasingly independent of city hall.

The committee's work occurred in several phases. First, it examined existing citizen participation mechanisms in Allentown. These included: city council and council committee meetings open to the public; the use of flyers containing messages and program information from city departments in the quarterly water bills; a weekly call-in program on public television in which the mayor, council members and other city officials appear in turn; a mobile "Let's Talk" booth at banks, shopping centers and other public places to answer citizen questions and receive and follow up on complaints; appointed authorities, boards and commissions and ad hoc groups; and some neighborhood-based civic associations that work closely with the city. The

committee criticized most mechanisms as not being citizen participation and decided that a more coordinated process was needed to express citizen views to city officials.

From December, 1975 through March, 1976, the committee explored various forms of citizen participation in other cities. The department staff presented written abstracts of the CDBG citizen participation process in several other cities. Instructors from Lehigh University and several professionals in the field lectured on possible alternative citizen participation models for Allentown.

As the next step, the committee divided into subcommittees. One subcommittee examined alternative forms and presented three plans to the full committee. Two other subcommittees prepared to promote the plan eventually adopted.

Committee members decided to present the final plan directly to the citizens instead of going back to the mayor. The committee made two city-wide presentations of its plan in June. It advertised the presentations in the newspapers, on billboards, by a radio jingle, and by direct mail. Eighty-three people attended the first meeting and more than 50 the second.

Implementation of the Process

The committee devised a strategy for taking the plan to neighborhoods and simultaneously establishing a core group in each. It envisioned that neighborhood residents would begin meeting and eventually develop viable neighborhood associations.

First, the committee identified 32 city neighborhoods which were then divided into eight groups of four each in order to present the plan. To publicize neighborhood presentations, committee members composed a flyer advertising the proposed citizen participation process and the schedule for neighborhood meetings. These were delivered to every household in Allentown by CETA workers. Over an eight-week period in the summer, committee members met with residents of all 32 neighborhoods.

Attendance at the neighborhood meetings ranged from 40 to 75. Citizens were greeted at the door, referred to a large map, asked to note which neighborhood they lived in and asked to sit by neighborhood. A member of the committee chaired each session and presented the citizen participation plan. Those attending were given an 18-item questionnaire drafted by the committee and reviewed by city officials that solicited their views on the plan, on the composition and role of neighborhood organizations, and on general issues of concern. After the general presentation of the plan by committee members and completion of the questionnaire by residents, members of the committee sat at tables with residents of particular neighborhoods, using the questionnaire to stimulate discussion. Before the end of the meeting most groups of residents had elected a temporary chairman. By early 1978, approximately two-thirds of Allentown's neighborhoods had active

associations, most of which were organized initially at these meetings.

Community of Neighborhood Organizations

In October, 1976, after more than a year of work, the ad hoc committee gained official approval from the city council in a resolution establishing a Community of Neighborhood Organizations. Thirteen neighborhoods joined the organization during its first year. By spring, 1978, five additional neighborhoods had joined—a total of 18 neighborhood groups representing over 84,000 people. Despite the intent of their original organization under the CDBG Program, neighborhoods have based their associations on issues such as crime prevention, traffic safety, and quality of life rather than community development.

At the city level, the Community of Neighborhood Organizations is composed of a coordinating committee and issue committees appointed from time to time according to neighborhood interest. Neighborhoods may designate two representatives to serve on the coordinating committee. They may also designate two representatives to serve on each issue committee relevant to their neighborhoods. There are five issue committees in various stages of organization: Public Safety (11 neighborhoods), Environment (11), Housing (7), Taxation and Budgeting (6), and Recreation (6).

While the neighborhood is the basic unit of the process, issue committees provide a forum for both local and city-wide concerns. Each neighborhood organization functions autonomously, coming to the issue committees or to the coordinating committee as the need arises. Issue committees are organizationally equal to the coordinating committee. They set their own agendas, do not need to report to the coordinating committee and can feed back information to the neighborhoods.

The Community of Neighborhood Organizations is more a federation of neighborhoods than a centralized structure. Power is decentralized to the neighborhood level. Neighborhood representatives are required by the organization's bylaws to represent the will of the neighborhood organizations, not their personal views. While neighborhood organizations are growing in strength, they act in an advisory capacity and are not expected to be governing units.

CDBG Allocation Process

The ad hoc committee took longer than expected to formulate a citizen participation plan and therefore did not advise the city on CDBG during the second or third year of the program. In the first three years of CDBG, the staff wrote the participation plan. In the fourth year, the community development staff sought advice from the coordinating committee of the Community of Neighborhood Organizations on how to structure the process. The city held four meetings in the second year, but reduced that to two in the third year because of low attendance. The committee

recommended returning to four "regional" meetings. It also recommended using a paid newspaper ad instead of a news story and that city staff conduct a workshop at the beginning of the CDBG process for the Community of Neighborhood Organizations' coordinating committee and one additional representative from each neighborhood.

In the fourth-year allocation process, the Community Development Department sent each neighborhood organization a letter and 200 copies of a brochure explaining the CDBG Program, listing the dates and times of public hearings and naming a person to contact at city hall. In addition, as suggested by the coordinating committee, the department staff held a workshop prior to the public hearings for the coordinating committee and one person from each neighborhood. The staff discussed the CDBG Program and the city's current funding constraints due to commitments from previous years. Because the funds available were limited, representatives wondered why the city bothered to consult with them at all. While only a small amount of CDBG funds was not committed previously, the staff explained that after the multi-year plan in one neighborhood is complete, over \$1 million will be available for new projects.

Prior to the public hearings, many neighborhood chairpersons called or visited the Community Development Department to check on the eligibility of particular projects and to receive other technical assistance in preparing proposals. Four public hearings were held in November and December and were chaired by the mayor or a community development staff member. Neighborhood groups and agencies presented their proposals orally and submitted a short written statement after the hearing. About the time of the hearings, department staff attended meetings in all neighborhoods, occasionally hearing testimony. When notified in advance by a neighborhood that someone wished to present a statement, a court recorder accompanied a staff member to the neighborhood meeting.

Work Week

The procedure for staff review of proposals remained approximately the same in the second, third and fourth years. After all proposals have been received, the department staff summarizes each proposal and schedules a single week of meetings in city hall to sort and evaluate them. During this "Work Week", neighborhood officers, residents, agency representatives and others are invited. Citizens are permitted to argue with staff but usually attend to observe.

On the first day of Work Week, the department staff meets to discuss the goals of the CDBG Program, the needs of the city, and the eligibility of proposals. They estimate costs for each project and investigate alternative funding sources. Later, particular proposals are scheduled for discussion. Beginning on the second day, people who presented proposals are invited to attend. The staff

discusses the proposals and informs the proposers of the project's eligibility and the staff's evaluation of its high, medium, or low priority. But staff does not tell the proposal writer directly whether the proposals will be funded or not. The third, fourth and fifth days are devoted to further staff discussions. At that time, the staff writes the CDBG budget. The full five days are not always needed for this process. Staff then submits the CDBG application to city council for approval. Most funds are allocated to the Allentown Redevelopment Authority for the downtown and the two neighborhood renewal projects. The small amount remaining is used to fund projects requested by other neighborhoods and various social agencies.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN CDBG

Ad Hoc Committee

The ad hoc committee's systematic survey of existing participation mechanisms in Allentown and in other cities and its solicitation of professional expertise provided it with the information necessary to select a structure appropriate to the city. It also gave the committee the impetus to set its course independent of the city. The committee's mandate from the mayor to devise a citizen participation process and the relatively open manner in which the committee was formed also contributed substantially to its eventual independence.

City and Staff Support

Community development staff members provided advice and general clerical support as well as assistance in organizing and coordinating the various activities undertaken by the ad hoc committee. The staff also provided city resources at critical times. For example, staff directed 12 summer employees, hired under the Comprehensive Employment and Training Program, to study each of the city's 32 neighborhoods and to devise a strategy to effectively deliver flyers prior to the ad hoc committee's organizing meetings.

Neighborhood Organizations

Allentown has approximately 27 neighborhood organizations and 18 are part of the Community of Neighborhood Organizations. Except for those in the Redevelopment Authority's revitalization area and several other older existing associations, most neighborhoods did not have organizations prior to the organizing efforts of the ad hoc committee. Neighborhood organizations meet monthly, elect officers and hold social activities. They are viable and are growing in membership and general political influence.

Expanding the Scope of Citizen Involvement

The Community of Neighborhood Organizations has provided a forum on several occasions for the discussion of important public issues.

Organization leaders, despite strong discouragement from city hall, organized a city-wide public meeting bringing together all parties involved in a dispute over an Army Corps of Engineers plan to build a dam upstream on the Lehigh River. The Chamber of Commerce, the Federal Environmental Protection Agency, landowners and the U.S. Army Corps of Engineers sent representatives to the meeting. Because construction of the dam was an emotional environmental issue, the meeting was packed. Speakers were allowed 12 minutes each to present their arguments. A question-and-answer session followed, but no debate was allowed. The forum focused attention on the trade-offs involved in constructing the dam and was the most significant public discussion of the issue. A subsequent referendum defeated the dam proposal by a 2-1 margin. Citizen leaders saw this first encounter

with city hall over a difference in policy (conducting this forum against the advice of city officials) as a test of the viability of the Community of Neighborhood Organizations.

In addition, the Community of Neighborhood Organizations held a political candidates night prior to the 1977 city-wide elections. At another time, neighborhoods in one part of the city brought in a speaker from HUD's Office of Neighborhood Voluntary Associations and Consumer Protection in Washington, D.C. to speak on neighborhood organizations.

Work Week in the CDBG Allocation Process

The Work Week is a low-key event. Most neighborhood groups and agencies come in only at the time their proposals are being considered. They can answer staff questions and offer additional supporting information. The opportunity to observe staff deliberations on CDBG projects and the overall budget engenders an atmosphere of openness and trust between citizens and community development staff.

ANCHORAGE

South Central Alaska

Location

**Population: 197,680 (1977)*
10% nonwhite
Median income: \$30,115
10.1% unemployed
19.2% below poverty level**

Community
Socioeconomic
Profile

*Sources: Urban Observatory Population Study (1977) and Municipality of Anchorage Population Forecast and Update (1977).

**Mayor-Council. Eleven-member assembly elected by district in
nonpartisan elections. Mayor elected directly.**

Form of
Government

**Urban Renewal, Water and Sewer, Open Space, Neighborhood
Facilities**

Previous Federal
CD Grants

**4th year: \$1,512,000
3rd year: \$1,779,000
2nd year: \$ 668,000**

CDBG Funding

**Planning Department
Mr. Michael J. Mehan, Director
City of Anchorage
Pouch 8-650
Anchorage, Alaska 99502
(907) 264-4226**

CDBG Program
Administered by

ALASKA

Anchorage has made significant advances in citizen participation in recent years. Citizen-initiated community councils that address a variety of neighborhood issues, have been organized in many areas of the municipality. The Federation of Community Councils is an umbrella organization providing assistance to these citizen councils. During the third year of CDBG the city contracted with the federation to sponsor neighborhood meetings for the development of the CDBG applications. Citizens submit proposals through neighborhood meetings which are conducted using a nominal group process. This system facilitates grass roots involvement.

BACKGROUND OF CITIZEN PARTICIPATION IN ANCHORAGE

Anchorage experienced rapid population growth over the past decade. Housing and construction costs are high, though rising wages have improved the ability of working people to pay for goods and services. Because of its rapid growth, the municipality only recently developed cohesive neighborhoods and viable community organizations. Before 1976, local government responsibilities were shared by the City of Anchorage and the Greater Anchorage Area Borough, which led to an overlapping and complex system for service delivery. The unification of the city and borough governments into a municipality has resulted in a more streamlined government structure more accessible to citizens.

The need for neighborhood-based citizen participation in Anchorage was stated in public hearings on the borough's Comprehensive Plan held in late 1974 and 1975. Citizens at the hearings said they needed a better way for communities to bring their concerns to the attention of local government officials and agencies. As a result, in 1975, the borough council passed an ordinance establishing citizen-organized community councils as the legitimate representatives of local citizen interests.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

Community Councils

The community councils are neighborhood-based citizen organizations which are involved in many aspects of local government decision-making and administration. Councils identify needs, initiate proposals for new programs, and channel complaints to appropriate municipal departments. They advise the municipality on zoning changes and recently have become involved in planning. Councils, functioning under a common set of bylaws recommended by the municipality, generally meet monthly. The councils do not have staff and are not incorporated.

Community councils are organized by the

citizens with limited municipal assistance and direction. Citizens are responsible for mobilizing community interest, conducting initial meetings, mapping the boundaries of their neighborhoods and defining council purposes. The municipality requires that membership on the council be open to all residents, property owners, and representatives of associations and businesses located in the neighborhood. When the citizen group decides it has organized a sizable portion of the community, it requests a public hearing before the municipal assembly, the legislative branch of the municipal government. At the hearing, the citizen group must verify that it held at least two public neighborhood meetings that were sufficiently publicized. It also must present a rationale for its boundaries and provide evidence (primarily through meeting attendance) that its members are representative of the neighborhood. The municipal assembly then votes on whether or not to designate it as the community council for that neighborhood. Neighborhoods began organizing councils in late 1974. By the close of 1977, 25 councils were recognized by the city and approval was pending for five others.

The Federation of Community Councils

Each recognized community council is also a member of the Federation of Community Councils. The Federation is a nonprofit organization serving as a resource to community councils by providing information, technical assistance, and clerical support. It has a full-time staff including an executive director, six VISTA volunteers, and clerical employees. It receives some funding from the municipality. The board of the federation, which meets monthly, consists of the presidents of the member councils. Board meetings involve discussion of federation problems and issues, and provide council presidents with an opportunity to discuss common problems and develop cooperative strategies. The federation also sponsors workshops on leadership skills, group techniques, the local government structure and budget, and the CDBG Program. It publishes a monthly newsletter and other informational materials. The federation lends some support to neighborhoods that are seeking to organize community councils.

The Citizens Planning Committee

The citizen participation process used during the third year of the CDBG program differed only slightly from that used in earlier years. The process for the third year involved a Citizens Planning Committee that was convened by the Planning Department. The committee included a federation staff member, the representatives of several community councils, citizens who were previously involved, and a representative of the Planning Department. The committee met regularly for several months to develop a plan for citizen input before beginning the application process.

The Citizens Planning Committee recommended that the city use the federation as a resource in implementing the citizen participation plan, and as a consequence, the municipality wrote a formal contract with the federation. The federation was to: (1) assist in organizing neighborhood meetings; (2) assist in conducting an extensive publicity campaign; and, (3) furnish clerical assistance for recording and distributing the proceedings of each neighborhood meeting. The Citizens Planning Committee, however, retained full responsibility for the overall logistics of the process. Staffing was provided by the Planning Department with assistance from other departments as necessary.

Using its staff, the federation assisted the city in conducting an extensive publicity campaign to inform citizens and groups about the CDBG Program and the schedule for neighborhood meetings. Newspaper ads and radio and TV stations publicized the meetings, and four radio stations broadcasted paid advertisements. The federation also distributed 10,000 flyers throughout the community and mailed 500 pamphlets to key community groups explaining the CDBG Program.

Neighborhood Meetings

The citizen participation process used in Anchorage consists of two interrelated phases. During the first phase, neighborhood meetings are held to solicit proposals for CDBG projects. In the second phase, these proposals are assessed by a project review committee consisting of citizens and Planning Department staff.

Neighborhood meetings are held in the evenings several weeks before the application is developed in various locations throughout the municipality. The evening meetings use a nominal group process which encourages the active involvement of citizens and organized groups. Citizens Planning Committee members chair and conduct the meetings with staff assistance. The names and addresses of people who attend are recorded to formally document attendance. This information is also used as a mailing list for a follow-up letter from the mayor thanking the citizens for their interest and encouraging their future involvement.

The meeting is opened by the chairperson who explains the purpose of the meeting. Index cards and pencils are distributed and the chairperson instructs individuals to write their responses to the question, "If you had \$1.76 million, how would you spend it to better the community?" While the question exaggerates the funding available to the individual neighborhood, it stimulates active involvement. This "brainstorming" is initiated prior to any explanation of the eligibility requirements of the CDBG Program to encourage creativity and maximize the response.

When the people have written their ideas, a more detailed introduction to the CDBG Program is presented by the chairperson, who reviews the goals, objectives, and eligibility requirements of the program and the types of projects funded in previous years. The projects recommended in

meetings held in other areas of the municipality also are described. Finally, the chairperson explains the procedure that will be used for the remainder of the meeting.

After the general information on the CDBG Program is presented, community groups are asked to present proposals they developed or which they support. Organizations that usually make presentations are community councils, recreation groups, and the historical society. About 20 minutes is allotted for these proposals, and every effort is made to prevent any group's domination of other stages of the meeting.

When the community organizations have completed their presentations, the setting of priorities begins. The chairperson instructs the group on the process and divides the audience into small work groups. Each work group designates its own chairperson to coordinate discussions and a recorder to take minutes. Each group member is asked to state an opinion on the neighborhood needs and how they might be met with CDBG funds. Members may refer to the cards on which they wrote their proposals at this time. After each individual has aired his or her views, the work group develops the proposals it wishes to recommend.

Facilitators (both staff and citizens) circulate to answer questions concerning eligibility or feasibility of any proposal. They also monitor the progress of groups and intervene when a group strays from the task or becomes dominated by one member. The proposals are refined by the work groups and then ranked. Each member of the work group is allowed three votes, and the two or three proposals that receive the most votes are referred to the chairperson of the meeting. The work groups are allowed roughly 30 minutes to complete their task, and the chairperson of the work group is responsible to see that it completes the task on time.

When the full meeting reconvenes, each of the work groups describes its proposals and why they were selected. All proposals are listed on flip charts. The floor is then open for discussion. Similar proposals are consolidated and others are revised. Staff assist in estimating the cost of the proposals. Only those that are clearly ineligible are deleted. After discussion, the group votes on the proposals. Each individual is allotted five votes. The first vote counts five points, the second vote counts four points, and so on. Individuals representing community organizations are not allowed to vote. The votes are tallied and the outcome is announced.

The proceedings of each meeting are recorded. The minutes outline the process used, highlight the top three proposals recommended, and indicate the number of points each was awarded. Other proposals and their point totals are also included. Finally, the minutes list all the responses written on the index cards to the question concerning how CDBG funds should be spent.

The neighborhood meetings encourage both individual and organized citizen involvement. The community councils' proposals do not receive

preferential treatment but compete equally with other citizen proposals. The community councils, however, have some advantage in that they tend to be well informed and prepared for the meetings. Their proposals are often the result of months of discussion and study. Thus, while the councils do not dominate the neighborhood meeting process they have significant influence on the development of the CDBG application.

Project Review Committee

In the second phase of the process, the proposals are assessed by a project review committee. For the third-year application process, the committee was organized by the Planning Department and included four staff members, two representatives from the Parks and Recreation Commission and Planning Commission, five representatives from the Federation of Community Councils and citizen representatives. The committee reviews all proposals recommended by each neighborhood after the proposals have been further developed and costed with prime emphasis on the top three proposals.

The committee also reviews the minutes of neighborhood meetings and considers staff proposals. After discussing all proposals, the project review committee establishes its priorities which it forwards to the Parks and Recreation and Planning Commissions.

The commissions meet jointly to consider the priorities of the project review committee. Two public hearings are held where citizen groups and staff can speak in behalf of their proposals. The commissions modify the application and send it to the mayor for his review. The mayor makes additional recommendations and these are forwarded to the municipal assembly for consideration and approval. The assembly holds

two public hearings and then adopts the application, generally making only minor revisions.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN ANCHORAGE

Community Councils

Anchorage's citizen participation process allows for both organized and individual citizen involvement. The organized participation is represented in the neighborhood-based community councils. These councils meet throughout the year, have grass roots support, and deal with a variety of neighborhood issues. They retain one staff coordinator and are provided additional support through the federation using city funds. The councils are influential, not only in the CDBG Program but also in other local government activities. Citizens can bring their concerns to the attention of local government on a continuous basis through the community councils.

Neighborhood Meetings

Individual citizen involvement in the CDBG application is accommodated in the neighborhood meetings. These well-publicized meetings are a highly successful method of obtaining widespread citizen participation. The use of a nominal group process at the meetings minimizes the dominance of organizations and particular individuals. The meetings are held in 11 neighborhoods so that citizens have ample access to the process. They are conducted by the neutral Citizens Planning Committee. The majority of funded CDBG projects in Anchorage originate from proposals initiated in neighborhood meetings.

DES MOINES

South Central Iowa

Location

Population: 201,000
6% nonwhite
Median income: \$10,239
3.6% unemployed
7% below poverty level

Community
Socioeconomic
Profile

Council-Manager. Seven-member city council elected at large in
nonpartisan elections. Mayor elected directly.

Form of
Government

Urban Renewal, Model Cities, Water and Sewer, Open Space

Previous Federal
CD Grants

4th year: \$5,303,000
3rd year: \$2,866,000
2nd year: \$3,279,000

CDBG Funding

Office of Neighborhood Development
Mr. Richard J. Wright, Neighborhood Development Administrator
505 East First Street
Des Moines, Iowa 50309
(515) 283-4568

CDBG Program
Administered by

IOWA

Elected neighborhood boards, working closely with city staff located in neighborhood centers, are the foundation of citizen participation in Des Moines. In addition, a city-wide Central Advisory Board, which includes representatives from neighborhood boards, reviews project proposals and presents a recommended CDBG budget and application to the city council.

BACKGROUND OF CITIZEN PARTICIPATION IN DES MOINES

Iowa's major urban area, Des Moines, is also the state capital and home for a large number of insurance companies and other businesses. The downtown business area and adjacent neighborhoods have experienced substantial deterioration and blight. Over half of the city's housing stock was built prior to 1940 and is predominantly frame construction. Much of this housing is substandard, and deterioration has spread from the downtown area neighborhoods to older neighborhoods outside the central sector.

The citizen participation process in Des Moines was established during the city's Model Cities program. In 1967, Des Moines applied for and received a Model Cities grant for a neighborhood northeast of the central business district. In March, 1968, the city council established a Model Cities Board to advise the city on the formulation and implementation of programs. Twelve of its 18 members were elected from the Model Cities area, and six from other parts of the city were appointed by the mayor. These mayoral appointments included representatives of the city's insurance industry and labor unions.

In 1971, Des Moines was one of 20 cities nationwide to receive "Planned Variations" funding. In addition to the Model Cities neighborhood, five neighborhoods, called Prime Service Areas, were selected to receive additional funding through Planned Variations. The new Prime Service Areas established Neighborhood Service Boards with several modifications. The size of each board remained at 18 members, but each neighborhood elected nine residents, and the mayor appointed nine residents; there were no members from outside the neighborhood.

In addition to Neighborhood Service Boards, a 27-member Central Advisory Board was established with three members elected from each of the six neighborhood boards and nine members appointed by the mayor. The central board received program recommendations from neighborhoods, refined their suggestions, set priorities, and forwarded them to the city council.

The program's administrative staff was located physically and organizationally outside of city hall and performed all of the requisite administrative functions. Des Moines officials report that during this period an atmosphere of distrust existed between the Model Cities Board and staff, and city hall.

With the advent of the CDBG Program in 1974, the city cut the Model Cities staff in half. The six

Prime Service Area Boards and the Central Advisory Board remained intact under CDBG. These seven citizen boards are among 33 citizen advisory boards in the city.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

The Office of Neighborhood Development, the successor to the Model Cities/Planned Variation Agency, administers the CDBG Program and oversees and supports staffs in the neighborhood centers. The neighborhood development administrator and his staff also support the Central Advisory Board and serve as intermediaries between it, neighborhood boards, neighborhood staff, and the rest of city government. In addition, they attempt to improve the overall citizen participation process in the city. In the fall of 1977, the staff held a major conference in the city on citizen participation which was attended by members of most of the city's 33 citizen boards.

Neighborhood Priority Boards

Six Neighborhood Priority Boards representing the six Prime Service Areas form neighborhood bases for the CDBG citizen participation process in Des Moines. Boards vary from 15 to 26 members. Each Prime Service Area is divided into eight to ten precincts. Board members are elected both from the precincts and at large. Representatives must either reside or own property in their precinct. Elections are held every two years, with most incumbents being reelected. Each board elects its chairperson and officers annually, and the chairperson usually is reelected. Election procedures are approved by city council and supervised by the city clerk.

Members of each Neighborhood Priority Board are appointed by the chairperson to serve on subcommittees representing the major areas of CDBG funds: housing, physical services, and personal development. In most neighborhoods, the Neighborhood Priority Board is the dominant community organization. However, energetic neighborhood associations independent of the boards arose in two neighborhoods, and a historic preservation association arose in a third.

Neighborhood boards meet weekly or biweekly in community centers. The centers are staffed by a coordinator, a secretary, and several block and outreach workers funded through the CDBG Program. Although the staff members are city employees, they report to the neighborhood board. The board acts in an advisory capacity in the hiring of the staff coordinator. However, ultimate authority for hiring rests with the neighborhood development administrator. The board generally interviews several candidates for the position and presents its recommendations. Coordinators provide staff support for neighborhood boards and play a mediating and, at times, an advocacy role for neighborhood boards. However, when conflict

arises between city departments and neighborhood boards, the coordinator is naturally placed in a difficult position between the two groups.

Each coordinator is responsible for: supervising the neighborhood office; managing the block and outreach workers; facilitating applications for housing rehabilitation or other grants; and verifying the eligibility of residents for the CDBG Program, the rehabilitation program and the Community Action Program. At the end of the third year of CDBG, portions of the city's Community Action Program were merged with the CDBG Program. This had two major effects. First, in each neighborhood center, an additional Community Action Program staff worker (full or part-time) was assigned to work under neighborhood coordinators. Second, the citizen participation process for the Community Action Program was merged with the CDBG process by expanding the Central Advisory Board.

Central Advisory Board

The Central Advisory Board, originally established under the Model Cities program, is a city-wide citizen committee. It is primarily responsible for advising the council on the expenditure of CDBG funds based on project proposals received from the Neighborhood Priority Boards, city departments and others. After a merger with the Community Action Program, the Central Advisory Board was expanded from 27 members to 33 members. The central board contains 18 elected neighborhood representatives, 11 members appointed by the mayor, and four representatives from private, non-profit organizations designated by their groups. This satisfies the Community Action Program requirement for a citizen participation board with at least one-third of the membership representing low-income residents, at least one-third representing the government, and the remainder representing the private sector. Neighborhood representatives are elected for one-year terms, and appointed members serve one-year terms at the discretion of the mayor and city council. Elected neighborhood representatives are usually responsive to the needs expressed by their neighborhood boards, while appointed members have a more comprehensive, city-wide view of issues.

Each central board member is assigned to one of three task forces: housing, physical services, or personal development. One representative from each neighborhood board must sit on each task force. Task forces are responsible for receiving proposals from neighborhood organizations, city departments, agencies, and others. The housing task force receives all housing-related proposals; the physical services task force receives proposals for projects such as streets, sewers, and parks; and the personal development task force receives proposals on social and human services, including day-care, neighborhood foot patrols, and senior citizen services. Each task force meets at

least once or twice a month.

The Central Advisory Board meets every two weeks and hears reports from the neighborhood development administrator on city council meetings, communications from HUD and other government bodies, program and project status and on other matters. The central board chairperson, elected by the members, reports on correspondence and brings appropriate matters to the board's attention. Task force chairpersons report on the work of their groups.

Allocation Process

Neighborhood Planning Conference

In the spring of each year, each Neighborhood Priority Board is notified by the Office of Neighborhood Development to begin preparing a list of its neighborhood's needs. In early summer, a one and one-half day Neighborhood Planning Conference is held for all six neighborhoods to develop needs statements and project proposals. Boards typically have considered their needs beforehand. At the conference, meeting separately, they refine proposals and rank them, creating a priority list. City department heads and their staffs are available to appear before any neighborhood board at the conference to answer questions on proposals under consideration, including cost estimates. At a luncheon, each neighborhood board chairperson presents a brief report on all neighborhood activities and proposed projects.

Central Advisory Board Planning Conference

Approximately four weeks after the Neighborhood Planning Conference, the Central Advisory Board holds a three-day weekend conference. For two or three weeks after the Neighborhood Planning Conference, the neighborhood development staff reviews the six neighborhood priority lists and needs statements. About a week prior to the central board conference, all members of the Central Advisory Board receive a complete packet with information on each neighborhood and agency proposal. In the first part of the conference, the three task forces meet separately and consider the needs statements from each neighborhood, spending almost a full day listening to and questioning presentations from departments and agencies. All proposals must go through this process. A needs statement is filed on every project the central board considers. Neighborhoods boards do not appear before the central board; however, one representative from each of the six neighborhoods sits on each task force.

Task forces analyze the frequency and nature of neighborhood needs mentioned by the six neighborhoods in order to set priorities for their recommendations. The three task forces then come together as the full Central Advisory Board. First, the Office of Neighborhood Development

presents its administrative budget for review. The central board has, on occasion, reduced the amount requested for administration. The central board's process of deciding on proposed projects has varied each year. In the first three years, each task force chairperson presented that task force's complete list of project recommendations with the projected dollar amounts. The central board then selected particular projects. This method often resulted in a package of projects which did not meet CDBG regulations and exceeded available funding. In the fourth year, the task force chairpersons presented their first priorities to the central board in round robin fashion. After questioning task force chairpersons, the central board voted on which projects to fund. The process continued until a full CDBG budget was allocated and reflected priorities set by the task forces.

The Central Advisory Board's recommended budget is finalized and forwarded to the city manager for review and then sent to the city council which holds two public hearings. The council considers the central board plan, the city manager's review, and comments from citizens at the public hearing. In the first four years of the CDBG Program, the city council approved over 90 percent of the projects recommended by the central board.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN DES MOINES

Neighborhood Centers

Neighborhood centers provide a focal point for many neighborhood activities and facilitate daily communication on neighborhood events and problems among residents. The centers are a gathering point for residents and help give neighborhoods a sense of identity. In addition, centers house the neighborhood office and are a meeting place for the neighborhood board. The office also provides a variety of social and referral services.

Neighborhood and Central Advisory Board Planning Conferences

The gathering of neighborhood boards and city department representatives in a central place early in the allocation process increases the access of neighborhood board members to city department staffs. Both conferences give the neighborhood boards and the Central Advisory Board formal institutional standing vis-a-vis the departments and other city boards and agencies. The conferences compress the length of the allocation process into a definite time period. This process also allows citizens to be involved in the planning and development of the city's comprehensive plan.

Central Advisory Board

For six years, the Central Advisory Board has provided an important forum for blacks, whites and members of a broad spectrum of economic groups to meet over a sustained period of time. The central board stays informed on the activities of city government in general and on those areas affecting neighborhoods in particular. One member ventured the opinion that even without recommending allocations of CDBG funds, the central board would have been a constructive force in Des Moines.

Merger of CDBG and Community Action Program Staff and Citizen Participation Process

The city has centralized the delivery of social services at the neighborhood level through the merger of programs funded by two federal agencies. This coordination strengthens the role of neighborhoods and their boards and should simplify and improve the delivery of services.

Implementation

CDBG projects are carried out by other city departments and operating agencies. Each operating agency prepares a design for each project which includes goals, objectives, and activities. All project designs are processed through the neighborhood boards and the Central Advisory Board before approval by the city council. The Office of Neighborhood Development prepares a monthly status report on each project. These reports make it possible for the neighborhood boards and the central board to monitor projects. In practice, however, this process has not always served to reduce the gap between the project as conceived by the neighborhood board and the project as actually produced by the city. At times, neighborhood boards were timid in making substantial comments on the project design report, fearful that requesting too many changes would cause them to lose the entire project.

Citizen Participation Conference

Des Moines held a conference on citizen participation in November, 1977, primarily for the members of the city's 33 citizen boards. Workshops were led by professionals from the National Training and Development Service in Washington, D.C. and several university professors with experience in citizen participation. U.S. Senator Dick Clark addressed the conference. Topics included citizen boards and their constituencies, problems of communication among citizen boards, communication with the public, and conflict resolution. As a result of the conference, a 50-page pamphlet was published describing the nature, composition, and activities of all citizen boards in the city.

FLINT

East Central Michigan

Location

**Population: 193,000
29% nonwhite
Median income: \$10,161
10.4% unemployed
10% below poverty level**

**Community
Socioeconomic
Profile**

**Mayor-Council. Nine-member council elected on ward basis in
nonpartisan elections. Mayor elected directly.**

**Form of
Government**

**Urban Renewal, Neighborhood Development Program, Model Cities,
Open Space, Neighborhood Facilities**

**Previous Federal
CD Grants**

**4th year: \$6,279,000
3rd year: \$7,608,000
2nd year: \$8,183,400**

CDBG Funding

**Department of Community Development
Mr. Jack Litzenberg, Director
1101 South Saginaw Street
Flint, Michigan 48502
(313) 766-7436**

**CDBG Program
Administered by**

MICHIGAN

Flint established a City-wide Advisory Committee to advise the city council on the CDBG application. The committee is persuasive even when the Department of Community Development disagrees with it. Flint also has a separate group of citizens who advise on the day-to-day implementation of the city's Neighborhood Preservation Program which is funded by CDBG money.

BACKGROUND OF CITIZEN PARTICIPATION IN FLINT

For many years Flint's residents have been vocal and highly organized. Citizen involvement is stimulated by both public and private institutions. The Charles Stewart Mott Foundation, one of the country's largest philanthropies, is headquartered in Flint. The Mott Foundation has sponsored studies and stimulated discussion on the topic of the city's citizen organizations. In addition, the Mott Foundation has given grants of a few thousand dollars to many organizations and groups in Flint. Partly as a result of the Mott Foundation's efforts, over 300 block clubs exist in Flint.

The Mott Foundation's encouragement and financial support have also contributed to the development of Flint's community schools. All public schools are open to the public during evening hours. Many activities and clubs meet there. Flint's use of community schools contributes greatly to neighborhood identification and citizen organization. Each school has a Community Advisory Council active in school and community affairs. The councils provide interesting school programs for students and community residents and sometimes become involved with programs dealing with social problems such as blighted housing, drug abuse, and crime.

The Mott Foundation, community schools, and over 300 block clubs all help provide a fertile environment for citizen participation. It is not surprising, therefore, that Flint has had active citizen participation in federal grant programs.

Citizen Participation in the Neighborhood Development Program

Flint developed a sophisticated and influential citizen participation mechanism for the federal Urban Renewal/Neighborhood Development Program. There were eight Neighborhood Development Program areas. Five of the smaller areas that surround the downtown central business district were combined into a General Neighborhood Renewal Program since they were geographically and environmentally similar. These areas were treated as one unit by the city council. The areas designated for the General Neighborhood Renewal Program and each of the other three Neighborhood Development Program areas formed Citizen District Councils, required by state law, to advise the city council on urban renewal matters. Residents of the General

Neighborhood Renewal Program areas nominated members of their Citizen District Council at neighborhood elections. However, the mayor had to officially appoint those elected and the city council had to confirm them before they could serve. This was done to assure all five areas were represented. The Citizen District Councils for the other three areas were directly elected. A 16-member Coordinating Council, made up of members of each Citizen District Council was formed.

The Coordinating Council grew to be strong. It communicated directly with the city council. When disputes between the Coordinating Council and the city staff arose, the city council usually settled arguments favoring the Coordinating Council. Because of the Coordinating Council's strength and experience, the CDBG citizen participation process was built around it.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

First Year CDBG

Flint found itself hurrying to meet the deadline for first year CDBG applications. The Department of Community Development did not design a new citizen participation process. The citizen participation structures that existed in urban renewal were adapted to the CDBG Program.

A City-wide Advisory Committee was formed to provide citizen participation for the program. The advisory committee was composed of the 16 members of the Coordinating Council appointed by their area organizations, nine city council appointees (one from each ward), and two mayoral appointees.

The advisory council became involved late in the first-year application process. Consultants were hired to write the application and the advisory council did not comment on it until it was nearly finished. In rushing to complete the application, the city council approved it despite the objections of some members of the advisory council.

Early in 1975, almost simultaneously with the organization of the City-wide Advisory Council, Flint organized the Neighborhood Service Representative Program. The program, which operated directly out of the mayor's office, was designed to bring city hall closer to the people. Neighborhood Service Representatives were hired by the city, given three weeks of intensive training about city departments and private social service agencies and assigned to work in city schools. In February of 1978, 18 Neighborhood Service Representatives were operating in various parts of the city. They see that citizen complaints and comments are directed to the appropriate city department, help organize block or community clubs, work with Community Advisory Councils, and help neighborhood community groups and individuals. Although the Neighborhood Service Representatives hear citizens' comments about

the CDBG Program in the course of their normal duties, they have no formal responsibility in the citizen participation process beyond keeping the Department of Community Development informed of citizens' complaints.

In November, 1975, just about the time the second year CDBG application process began, a new city charter changing Flint from a Council-Manager to a Mayor-Council form of government became effective. While this dramatic change in government structure did not have much effect on the CDBG citizen participation process, it did increase the importance of the Neighborhood Service Representatives, since they were attached directly to the mayor's office.

Second Year CDBG

For the second year of the CDBG, the City-wide Advisory Council added five members who represented Flint's section of the Model Cities area, which was located on the city border and extended outside the city. The area, which had been the county's responsibility, was transferred to the city under the CDBG Program and was eligible to become a target area.

Widespread citizen involvement in the citizen participation program was solicited by the use of four town hall meetings. The public forums, which were held in different areas of the city, were designed to give the advisory council a chance to hear the opinions of citizens who might not normally become involved in the process. Citizens were asked to describe projects that needed to be undertaken in their neighborhoods. All projects were compiled in a list which was presented to the advisory council.

The City-wide Advisory Council reviewed the list and the comments of neighborhood groups when considering the Department of Community Development's proposed CDBG application. The City-wide Advisory Council, which meets monthly, rarely initiates the development of projects for the application but instead confines itself to responding to the department's recommendations. The department generally gives the advisory council several options which are discussed and voted upon. The advisory council was dissatisfied with all the department's options in the third and fourth CDBG years.

The second year, the advisory council felt that a full-scale neighborhood preservation program should be undertaken. The first year's CDBG Program included only a pilot neighborhood preservation program. While the city agreed that a neighborhood preservation program was necessary, the Department of Community Development wished to delay the program for a year so that the CDBG money would be available to provide matching funds for a Mott Foundation grant to beautify the downtown riverfront area. The advisory council agreed to the department's wish but asked that a Task Force on Neighborhood Rehabilitation be formed to develop the neighborhood preservation program.

In July, 1976, the mayor's Task Force on

Neighborhood Rehabilitation was formed. It included realtors, labor and business representatives, as well as members of the City-wide Advisory Council. The mayor's task force proposed a detailed plan to create an independent nonprofit corporation to implement rehabilitation and preservation activities funded with the CDBG money. The plan stressed citizen involvement in the program and called for the establishment of housing centers in target neighborhoods. The housing centers were designed to provide technical assistance and classes in home maintenance to city residents. Community outreach workers who would have day-to-day contact with citizens affected by the rehabilitation program were to be located in the centers.

Third and Fourth Year CDBG

Although the City-wide Advisory Council's views were given serious consideration in the second year process, the Department of Community Development and the citizens on the advisory council felt a change in its makeup could improve its image. Many members did not attend every meeting. It was felt that an expanded body was necessary so enough members would be present at each meeting to assure that a useful interchange of ideas would take place. In addition, because the CDBG Program was felt to be a city-wide program, an advisory council which was representative of the entire city was desired.

City officials decided to use the planning districts, which had been created the year before for the comprehensive planning process, as a basis for the formation of the new City-wide Advisory Council. The 12 planning districts covered all city areas but did not correspond with city council wards.

The Department of Community Development launched a city-wide publicity campaign to attract volunteers to the expanded advisory council. Letters were sent to all block clubs and there were radio and newspaper advertisements. Over 200 people volunteered.

The planning district in which each volunteer resided was determined and the names of the volunteers were separated to correspond with the appropriate planning districts. Each district was allowed one representative for every 5,000 residents. One alternate per district was also allowed. The mayor selected the representatives and alternates in a blind draw. The advisory council felt that using a blind draw system to select members opened the process. Citizens who wanted to be on the advisory council had a fair chance of being selected.

The City-wide Advisory Council thus had 34 planning district representatives and 12 alternates. In addition to these representatives, the 21 target area residents who formed the nucleus of the advisory council during the second year remained. These members were appointed by their areas' organizations. The advisory council also had nine ward representatives appointed by the city council and two mayoral appointees. There

were 65 members, not including the 12 alternates.

Since the new City-wide Advisory Council was representative of the entire city, no town hall meetings were held for the third year application. Instead the advisory council worked directly with the Department of Community Development. The department presented four alternative drafts of the application but the advisory council did not accept any. The advisory council instead combined projects from several of the department's proposals and other projects not included in any of the department's alternatives and developed its own recommendation which it presented to the city council at a public hearing. The city council accepted the department's proposal over the advisory council's but at a later public hearing amended the department's proposal to give the advisory council much of what it desired.

During the third year, implementation of the recommendations of the mayor's Task Force on Neighborhood Rehabilitation began and over \$2 million was allocated for neighborhood preservation. This program involved citizens as the task force recommended.

The fourth year CDBG citizen participation process did not change the makeup of the advisory council. However, a greater effort was made to get the public involved during the fourth year. Five advisory council subcommittees were formed and each one was responsible for arranging a town hall meeting in one area of the city. The projects and problems mentioned at the meetings were used to advise the Department of Community Development on the needs assessment phase of the fourth year application. Attendance at the town hall meetings ranged from five to 50 people. In addition to the town hall meetings, three public hearings were held at various stages of the application. The first was held when the first draft application was completed; the second was held shortly before the city council took an initial vote on the application; and the third was held prior to the city council's giving final approval.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN FLINT

Citizen Participation in Implementing and Monitoring Neighborhood Preservation Program

To implement Flint's Neighborhood Preservation Program, which is funded entirely by the CDBG funds, a private nonprofit corporation called the Flint Neighborhood Improvement and Preservation Project was created. This corporation administers all loans and grants for Flint's housing rehabilitation program. The corporation's board of directors includes citizens who serve on the City-wide Advisory Council, realtors, and business people. The inclusion of citizens on the board ensures some citizen participation in the program. However, to guarantee even greater participation from target area residents, an eight-member citizen

task force was created to advise the board of directors. Two representatives from each target area were named; one represents organized citizen groups of that area, while the other represents those citizens who do not belong to any groups.

The corporation also has "housing centers" located in three target areas (one housing center serves two adjacent target areas). The centers are in city-owned houses. Outreach workers are in each of the three centers and keep in touch with neighborhood residents. In addition, residents often come to the centers, either to take the housing maintenance classes given there or to comment, complain or ask questions about neighborhood activities. Although the Neighborhood Improvement and Prevention Project is quite new, it has set up a neighborhood-based structure through which citizen input is gathered.

Staff Support for Citizen Participation

Four full-time professionals in the Department of Community Development provide staff support for citizen participation in the CDBG. The staff works closely with target area Citizen District Councils which send representatives to the City-wide Advisory Council. The staff also works to organize groups in areas that may be future target areas. Staff members give technical assistance to the advisory council and are a liaison between the Department of Community Development and the advisory council.

There has not been a close relationship between the Neighborhood Service Representatives and the CDBG citizen participation staff. Although Neighborhood Service Representatives are in daily contact with many citizens and have a unique opportunity to provide information and input to the City-wide Advisory Council, they have not been used much in this manner. The city believes that Neighborhood Service Representatives should deal with day-to-day resident problems while the advisory council should deal with long range planning.

Training

The City-wide Advisory Council has been allocated up to \$15,000 of CDBG funds. Two of the target area organizations have been allocated \$4,000 each. This money can be used for training, publicity and supplies. During the third and fourth years of the CDBG, the advisory council rented a room in a local restaurant and held a day-long training session. Citizens were given extensive information about various aspects of CDBG and about the city in general. Citizens also have occasionally attended out-of-state conferences where they received information on citizen participation. However, the advisory council usually spends only a portion of the money it is allocated and citizens complained that the city took too long to process requests for funds.

Newsletter: Community Sound-Off

The citizen participation office of the Department of Community Development publishes a monthly four-page newspaper called *Community Sound-Off*. The newspaper has articles on the most recent developments in the CDBG Program, planning and other related issues. Neighborhood Service Representatives often write stories for the paper.

On the last page of the newspaper a blank tear-out form is printed, which is part of the "Sound-Off System." Citizens are asked to send questions or comments about the city's community development program to the paper. The best comments, or questions, sent in each month are published along with responses by the city. The citizen participation staff responds to the forms

which are returned each month.

Every month 10,000 copies of *Community Sound-Off* are printed. Nine thousand are mailed to residents of the city's target areas. The remainder are distributed in stores and public places.

The Road Show

Flint compiled a slide presentation of current and past CDBG projects. The citizen participation staff affectionately calls this the "road show". Members of the citizen participation staff present the road show along with a verbal explanation of the projects to groups that request it. Each year between 20 and 50 block clubs and other civic organizations request the show and it is estimated that 3,000 people saw it in the first four years.

FRESNO

Central California

Location

Population: 166,000
13% nonwhite
Median income: \$8,971
6.1% unemployed
13% below poverty level

Community
Socioeconomic
Profile

Council-Manager. Seven-member council elected at large in
nonpartisan elections. Mayor elected directly.

Form of
Government

Urban Renewal, Neighborhood Development Program, Model Cities,
Water and Sewer, Open Space, Neighborhood Facilities

Previous Federal
CD Grants

4th year: \$8,521,000
3rd year: \$8,998,000
2nd year: \$9,518,000

CDBG Funding

Housing and Community Development Department
Mr. Charles Figg, Director
Post Office Box 12706
Fresno, California 93779
(206) 485-6200

CDBG Program
Administered by

CALIFORNIA

Fresno has expanded and adapted its Model Cities citizen participation structure for use in the CDBG Program. Neighborhood Councils convey their recommendations to city departments through a city-wide citizens' committee. Fresno's process requires precise, thoughtful, written comments from involved citizens and city departments. This process encourages constructive participation from citizens in all areas of the city.

BACKGROUND OF CITIZEN PARTICIPATION IN FRESNO

Citizens in Fresno have actively participated in planning and programming the expenditure of federal community development funds since 1969, when the city first received money through the Model Cities program. During the first three years of the program, activities in Fresno were limited to the southwest portion of the city, and opportunities for citizen participation were restricted to the 28,000 residents of that area.

A Neighborhood Council made up of elected citizens of the Model Cities area and representatives of community agencies was established and met once or twice each month to consider issues associated with the program. The council was organized with a subcommittee structure to allow citizens an opportunity to study problems in-depth. Each year the Neighborhood Council, together with city staff, identified and ranked problems which they felt should be addressed by the Model Cities program. These recommendations were passed along to the Model Cities Board (which was composed of citizens of the target area) for a final recommendation to the city council.

In March of 1968, the City of Fresno was awarded a grant from the Department of Housing and Urban Development to prepare a Community Renewal Plan. The plan was developed by the Office of the Chief Administrator at the direction of the city council and in conjunction with an Interim Citizen Participation Committee. The citizen participation committee's work resulted in Fresno being divided into six socio-geographic areas. When Model Cities was expanded to all of Fresno in the Model Cities/Planned Variations Program, these districts became the basis of the citizen participation process.

Because Planned Variations dealt with the entire city, an expanded citizen participation structure was necessary. Neighborhood Councils were formed in each of the six districts delineated by the Interim Citizen Participation Committee. Each council was made up of residents elected on a census tract basis: one representative was elected for each 600 persons in a census tract.

Neighborhood Councils had as many as ten subcommittees which became the councils' working units. The subcommittees were responsible for analyzing neighborhood needs, and making recommendations to the Neighborhood Councils. The councils advised on

a variety of issues including housing and physical development, health and nutrition, education, recreation, planning and zoning.

The Fresno Citizen Participation Commission was formed by a city council resolution to coordinate the work of the Neighborhood Councils. Twenty-one members were named to the commission. These included: the chairpersons of each of the six Neighborhood Councils; six Neighborhood Council members at large; seven appointees of the city council members and the mayor; one appointee from the Youth Commission; and one appointee from the Commission on Aging.

The Citizen Participation Commission formed four subcommittees, each responsible for reviewing the recommendations of the Neighborhood Councils in a particular program and for monitoring city-wide concerns. The full commission reviewed the subcommittees' work and made recommendations to the city council.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

City officials and citizens were very satisfied with the citizen participation structure that was developed for the Model Cities/Planned Variations Program. It was a fairly simple matter, therefore, to devise a citizen participation process using existing structures for the CDBG Program. The method of selecting members for the Neighborhood Councils and the Fresno Citizen Participation Commission remained the same. A Division of Citizen Participation with a full-time paid staff was created by the city to aid the Neighborhood Councils and the Citizen Participation Commission in their work.

Although CDBG is primarily directed towards projects to eliminate physical blight, the Neighborhood Councils and the Citizen Participation Commission continue to deal with issues, such as education and health, that first became their concerns during the Model Cities program. The Neighborhood Councils are responsible for reviewing all capital improvement funding and all joint city/county revenue sharing projects, as well as other issues.

A member of the city's citizen participation staff is assigned to each Neighborhood Council. The staff provides administrative, technical and clerical support to the commission and Neighborhood Councils. In addition, the staff is responsible for coordinating dialogue between the Citizen Participation Commission, Neighborhood Councils and local government agencies.

Each year in May, the staff makes arrangements for Neighborhood Council elections. Approximately 90 representatives are elected to each Neighborhood Council. Fifty or 60 of the members usually remain active.

In June and July, the staff orients newly elected members of the Neighborhood Councils and newly elected and appointed members of the Citizen Participation Commission to the citizen participation process. New members are given

background information and briefed on procedural issues.

Needs Identification

In August the CDBG needs identification process begins. The Neighborhood Councils break up into as many as five subcommittees. Each subcommittee concentrates on one topic area. They review previous years' needs and ongoing projects. Where necessary, walking or riding tours of their neighborhoods are made.

Each Neighborhood Council holds at least one open hearing at which area residents are encouraged to describe needs they have observed. Residents may also come to regular meetings of the Neighborhood Council to more completely air their concerns.

Review of Needs

Once residents and council members have identified community needs, each Neighborhood Council subcommittee condenses the needs and ranks them in order of importance. Subcommittees then make a full report to the Neighborhood Councils which rank the reports. Each need is recorded in the first column of a three columned needs identification and modification form entitled "Neighborhood Council Identified Needs and Recommendations." Once the needs have been recorded on these forms, they are sent to the Fresno Citizen Participation Commission.

Sometime in October, the commission sends the complete package of needs to its city-wide capital improvements project committee. The subcommittee reviews all needs, consolidates those that are duplicative, and forwards the needs to the appropriate city department for a written response.

The departments are required to give a written response to each need. This response is recorded in the second column of the needs identification and modification form. Departmental responses tell what the city has done, or planned, to meet the need. If no action has yet been planned to meet a need, the department estimates what the cost of meeting the need would be. If the department recommends delaying or deferring action on the need, reasons are noted.

The departments' comments are returned to the Citizen Participation Commission, which reviews them and sends them back to the appropriate Neighborhood Council. Departmental comments are reviewed and discussed at the Neighborhood Council meetings. Citizen participation staff members help interpret these comments. If the Neighborhood Council members feel an additional response or clarification is necessary, they request that a departmental representative appear before them.

Once all of the departmental comments have been fully explained, Neighborhood Council subcommittees review the needs and suggest deletions or modifications as appropriate. Neighborhood Council comments are recorded in

the third column of the needs identification and modification form. These needs are forwarded to the Fresno Citizen Participation Commission.

The commission's subcommittees review the needs, departmental and Neighborhood Council comments, and rank the needs. A consolidated list of needs is then sent to the chief administrative officer and all city departments for use in developing the next fiscal year's capital improvement projects and obligations.

Development and Review of CDBG Application

Once the list is received, the department considers on-going projects, administrative expenses, projects submitted by other city departments, as well as the needs identified by citizens. A draft CDBG application is then prepared.

In early December, the draft application is sent back to the Citizen Participation Commission and the Neighborhood Councils. Both the commission and the Neighborhood Councils then hold public meetings to discuss it. Citizen comments on the draft application are collected and consolidated by the Citizen Participation Commission, and conveyed to the Housing and Community Development Department which incorporates them into a second draft.

In mid-January, the second draft of the application is formally presented to the city council which holds two public hearings on the application. Following the second public hearing, the Housing and Community Development Department modifies the application and presents it to the city council for final approval in late February. Although citizens can bypass the entire citizen participation process and voice their concerns directly to the city council at these hearings, this is generally not done. The city council prefers that citizens use the formal citizen participation process. The city council has been careful not to allow citizens to use the public hearings to circumvent the citizen participation process.

The Housing and Community Development Department gives status reports on continuing projects to subcommittees of the Citizen Participation Commission throughout the year. The citizen participation staff keeps the Neighborhood Councils informed of activities and events which affect them. There are, however, no formal provisions for citizen participation in the year-round monitoring of the CDBG Program.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN FRESNO

Execution of Needs Assessment Form

The three column form entitled "Neighborhood Council Identified Needs and Recommendations" is one of the most important tools in Fresno's CDBG citizen participation process. The

completed forms contain needs identified by citizens in the first column, departmental responses in the second column, and citizen comments on departmental responses in the last column.

This form encourages citizens to identify specific needs which can be dealt with by the city. City departments which must respond in writing to each need citizens have noted are forced to consider citizen comments seriously.

Often citizens point out a need that city officials did not know existed. Sometimes city departments inform citizens that a need they have identified is addressed in plans for two, three or more years in the future. In either case everyone involved in the process becomes better informed.

This form provides a written record through which needs can be tracked from year-to-year. It plays an important part in the needs assessment process each year because it provides a record of needs which were not addressed in previous years.

Monthly Citizen Participation Newsletter

Each month Fresno's citizen participation office prepares a newsletter that contains news about each Neighborhood Council and the Fresno Citizen Participation Commission, as well as information about on-going community development activities.

The newsletter is widely distributed to citizens who are actively involved in the citizen participation process and to citizens who are not. It informs and involves all citizens. The newsletter keeps Neighborhood Councils informed of each other's activities and encourages city-wide coordination. The newsletter also helps citizens monitor community development projects by providing regular status reports.

Staff Support

The citizen participation division is made-up of a director, coordinator, six program project managers

(who are each assigned to a Neighborhood Council), two aides and clerical support staff. The staff is responsible for providing technical assistance to the Fresno Citizen Participation Commission and the Neighborhood Councils in problem identification and data collection. The staff provides all necessary clerical support and arranges for minutes of meetings to be typed and distributed.

Coordination of Citizen Participation and Departmental Staffs

One employee in each city department is assigned to work with the citizen participation staff when problems relative to that department are identified. This enables the citizen participation staff to work closely with other city staff on a regular basis. The departments are made aware of citizens' desires and concerns through the citizen participation staff, and as a result have become increasingly sensitive to citizen needs. Departments are careful to solicit citizen's opinions through the citizen participation process before new projects are started.

Make-up of the Fresno Citizen Participation Commission

The Citizen Participation Commission includes elected as well as appointed representatives from all segments of the city. This has increased communication between people of all social and economic strata in the city. Citizens from the wealthy sections of the city are able to hear first hand the problems of poorer sections. A spirit of cooperation has been established in which citizens from all areas of the city try to help those most in need. Citizens who serve on the commission tell Neighborhood Council members and friends in their area about conditions around the city. This has resulted in many citizens having a better overall understanding of the city and the problems it faces.

KANSAS CITY

Eastern Kansas

Location

Population: 168,000
21% nonwhite
Median income: \$9,166
6.3% unemployed
10% below poverty level

Community
Socioeconomic
Profile

City Commission. Three-member commission elected at large in
nonpartisan elections. Mayor elected directly and is a member of
the commission.

Form of
Government

Urban Renewal, Neighborhood Development Program, Model Cities,
Water and Sewer, Open Space, Neighborhood Facilities

Previous Federal
CD Grants

4th year: \$5,065,000
3rd year: \$6,206,000
2nd year: \$6,206,000

CDBG Funding

Department of Community Development
Mr. Edward C. Smith, Director
Municipal Office Building
One Civic Plaza
Kansas City, Kansas 66101
(913) 371-2000

CDBG Program
Administered by

KANSAS

Kansas City, Kansas developed a unique concept of citizen participation emphasizing the direct role of citizens in neighborhood preservation. Approximately \$2 million in CDBG funds (one-third of the grant) is allocated annually to city sanctioned neighborhood organizations. The funds are intended to improve the physical environment of the community and to encourage neighborhoods to mobilize human resources that are the key to a successful preservation effort. The organizations have full authority to select projects and are actively involved in implementation and monitoring. Another unusual characteristic of the process is that citizens become most involved following approval of the grant by HUD.

BACKGROUND OF CITIZEN PARTICIPATION IN KANSAS CITY

Kansas City, Kansas is a city that has been shadowed by its namesake in Missouri. The city supports light and some heavy industry, but is best known as a major midwest grain center. Although the population is beginning to stabilize, the demands on city resources rose significantly over the past decade. The proportion of elderly individuals in the population is growing, a trend that has increased the demand for social services and diminished the tax base. Furthermore, deteriorating conditions in many neighborhoods required that the city be responsive to community development needs.

The city responded to these challenges by stimulating a revitalization movement that is beginning to produce results. With neighborhood preservation as the guiding philosophy, city hall directed most of its uncommitted CDBG monies to these efforts. The resulting increased citizen interest in local government affairs also stimulated some privately financed development.

In 1974, the city organized a Citizens Technical Coordinating Committee consisting of residents from a variety of neighborhoods to assist Community Development Department staff in developing a mechanism for citizen participation in the CDBG Program. The committee and staff designed a participation technique which would meet the requirements of the CDBG Program and become an integral component of the neighborhood preservation effort. Realizing that the available financial resources could not resolve the city's complex community development problems, the coordinating committee and community development staff chose a strategy that would foster the development of human resources existing in the neighborhoods themselves. After numerous meetings, the committee adopted a process requiring the active involvement of neighborhood organizations. The strategy emphasized self-help. The committee and staff thought that by participating in the CDBG Program, neighborhood organizations would acquire the knowledge and skills needed to deal more directly with their neighborhood problems. The CDBG Program was a catalyst and training

ground for neighborhood organizations which, it was hoped, would eventually incorporate as nonprofit organizations, secure alternative funding and become self-sufficient.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

Neighborhood Organizations

Since the CDBG Program began, neither the philosophy nor the operation of Kansas City's participation process has changed. By the end of 1977, the city had formally sanctioned and actively involved 79 neighborhood organizations in the CDBG Program. These organizations represent neighborhoods that vary widely in size, physical condition, income, and race. The 79 groups represent neighborhoods encompassing more than one-third of the city's population. Although some of the organizations evolved from pre-existing civic associations and other types of community groups, the majority were organized after the start of the CDBG Program by small groups of citizens seeking to improve the quality of their neighborhoods.

The city assumes no responsibility for organizing neighborhoods. It does, however, define and control the procedures by which a group of citizens may establish a recognized neighborhood organization. The process for gaining city recognition was developed and is administered by the Community Development Department which oversees the CDBG Program. Any citizen, group of citizens, or citizen association may contact the department and initiate the process of establishing a neighborhood organization. Most of the initiators are neighbors who heard about the program by word-of-mouth. The first step in organizing a neighborhood involves visiting the department office to map out the neighborhood. Using aerial topographic maps, the community development staff assists the individual or group to define neighborhood boundaries. Department staff sometimes recommends a reasonable area and makes sure that overlapping is avoided. The final boundary decision, however, lies solely with the citizens.

Once boundaries are specified, the citizen or citizen group collects membership signatures from households within the neighborhood. Signatures from two households on each block are required. When enough signatures are obtained, citizens who sign-up meet to discuss the structure and purpose of the organization. The group is required to endorse statements indicating that it will hold ten meetings a year and will work toward improving the neighborhood. The neighborhood organization also is encouraged to adopt bylaws. A suggested set of bylaws is provided by the city, but the final bylaws are determined by the group. When citizens have completed these tasks, the Community Development Department reviews the material and, if all conditions are met, sanctions the group.

Applications for new neighborhood organizations are processed yearly, and applications to increase the size of existing neighborhood organizations are subject to the same procedures and are accepted twice a year.

The neighborhood organizations in Kansas City differ significantly in terms of size, organizational structure, and interests. Most groups meet monthly and address many neighborhood problems not directly related to the CDBG Program such as zoning, building inspection, transportation, and crime. Each neighborhood organization elects a president who assumes a variety of responsibilities and acts as the neighborhood's primary contact with the city. Neighborhood presidents meet jointly with community development staff when necessary to discuss problems and obtain information on new programs and policies. Neighborhood presidents seldom adopt a collective stance or strategy in their approach to the city and do not represent another level of citizen participation.

Kansas City does not supply the neighborhood organizations with operational funds, but does provide clerical and technical support. The city has, since 1975, contracted with the Economic Opportunity Foundation, the local Community Action Program agency, to provide clerical assistance. The foundation employs nine outreach workers who are assigned to specific neighborhoods and who attend all neighborhood meetings and record, copy, and send the minutes to interested individuals and departments. Outreach workers also process meeting notices which are sometimes used as newsletters, and are mailed to all neighborhood households. Although the outreach workers offer some technical assistance, most technical assistance for neighborhood organizations is provided by the Community Development Department staff. Three citizen participation specialists work closely with neighborhood organizations. They provide information, refer citizens to other departments when necessary, maintain contact with outreach workers, and monitor the activities of the neighborhood organizations. A citizen aide serves as an initial point of contact to individuals and organizations who have questions concerning eligibility requirements and services available through the Community Development Department.

The 79 neighborhoods in the citizen participation process have had varying degrees of success. Some organizations have become a powerful voice for community interests, while others have been unable to maintain adequate meeting attendance. The success, or lack of it, among the organizations can be explained largely by the quality of leadership. Where strong leadership has evolved, the organizations became a potent force in the neighborhood. Overall, the neighborhood organizations have been an effective means of mobilizing citizen interest and involvement in the neighborhoods. In some cases, they formed coalitions and occasionally pooled resources for joint projects. They have the authority to determine how significant amounts of

CDBG funds are used and are active in the monitoring and, in some cases, the implementation of projects.

Application Development

Prior to drafting Kansas City's CDBG application, the Community Development Department holds two public hearings. At the first hearing, the CDBG Program is explained, current and past projects are described, the eligibility requirements of the program are reviewed, and citizens are told how to submit proposals. Citizens and organizations present their proposals at the second public hearing. For the most part, it is social service groups and other types of nonprofit organizations that submit proposals. Neighborhood organizations are not involved in the hearing process. Each year the city sets aside \$2 million (over one-third of its total allotment) for neighborhood organization projects, thus neighborhood organizations do not compete with other organizations at the public hearings. The only neighborhood organization involvement occurs prior to the public hearings when the Community Development Department staff meets with the organization presidents to discuss the needs and priorities of their communities. Presidents, however, do not submit specific proposals at this meeting but only advise the department on the problems of their neighborhoods.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN KANSAS CITY

Neighborhood Organization Projects

The neighborhood organizations in Kansas City play a major role in developing, monitoring and, in some cases, implementing CDBG projects. The 79 organizations do not compete for the \$2 million, but receive their allocations on a formula basis developed by the Community Development Department. The formula identifies neighborhood needs by taking into account the size (number of structures) and condition of the neighborhood the organization represents. The condition of the neighborhood is determined by identifying the percentage of structures falling in each of five categories: Stable, Transition 1, Deteriorated, Transition 2, and Dilapidated. The funding formula is weighted toward the middle three categories. It is thought that relatively "stable" neighborhoods do not need the money as much as other neighborhoods, while the needs of relatively "dilapidated" neighborhoods hardly can be met by the limited funds available.

Neighborhood organizations are informed of their allotments after the application is approved by HUD. The allotments vary considerably. Some neighborhoods receive \$2,000 while others receive almost \$100,000. Neighborhood organizations are required to indicate how they will

use their allotment within two months of receiving notice from the Community Development Department. Groups allocate their money among four categories: rehabilitation grants, rehabilitation loans, physical improvements, and special projects. Neighborhood organizations are free to allocate money to any eligible project and determine the amount which goes to each category.

Because neighborhood groups meet monthly to discuss the problems of their communities, they tend to develop proposals for projects when particular needs come to their attention. Thus, the neighborhood organizations have a fairly well developed plan for spending their allotment when they are informed of its size and usually hold only one or two meetings to finalize how to commit their money. The organizations are also encouraged to conduct housing and physical site surveys to help identify the needs of the neighborhood. The Community Development Department supplies the organizations with the forms needed to do these surveys.

Once money has been allocated into specific program categories, the neighborhood organization is free to obligate funds to particular projects. This occurs throughout the year as neighborhood organizations make decisions on physical improvement projects, identify recipients of grants, and formulate special projects. Decisions for allocating and obligating funds must be approved by vote. Monthly status reports from the Community Development Department keep the neighborhood group informed about the available funds to spend in each funding category. Neighborhood organizations also may transfer funds among categories if new projects are selected or if project costs vary significantly from estimated costs.

Two planners are available throughout the year to aid neighborhood groups with physical improvement projects. The planners meet with the group to determine the feasibility and estimate the cost of a project. If the neighborhood organization chooses to obligate funds to the project, the planning staff obtains more detailed estimates. The planners monitor the project and maintain regular contact with the neighborhood. Staff also is available to assist groups in developing special projects. Neighborhood organization funds are monitored on a continual basis by the accounting division of the Community Development Department and the citizen participation specialists.

The Community Development Department cannot anticipate what projects each neighborhood organization will adopt until after the CDBG application is submitted to HUD. The department has, however, been relatively accurate in projecting how the 79 organizations will allocate their money. Thus, in its application, the department indicates how money will be spent by category, not by project, which satisfies the needs of HUD and allows each neighborhood organization flexibility to allocate and reallocate its money, based on its own priorities.

Implementation

All neighborhood organizations are involved in implementation, though this activity is limited mostly to the housing rehabilitation grant program. During the third year of the CDBG Program the Community Development Department relinquished to the neighborhood organizations the responsibility for selecting grant recipients. The department supplies each organization with a list of eligible applicants in its neighborhood. The organization then decides which households will be awarded grants. Most organizations appoint a committee to review applications and select grantees. The decision of the committee is then forwarded to the city and the grant is processed. (Neighborhood organizations are also responsible for selecting recipients for the paint and dead tree removal programs.)

In a few cases, neighborhood organizations incorporated as nonprofit organizations in order to qualify as vendors for services. This is consistent with the original self-help philosophy of the participation process, and though it has occurred infrequently, it is indicative of the success of the program. One corporation received city funds to acquire an abandoned firehouse and convert it into a community center. The center is run by two workers who are employed under the city's Comprehensive Employment Training Program. The corporation contracts with the Community Development Department to provide recreational and educational programs funded by CDBG monies.

Monitoring

Neighborhood organizations monitor each project they fund. An annual status report documenting the progress of each project is sent to the organization in August and the Community Development Department provides monthly status reports. These reports include a financial statement listing the total allocation, obligated funds, expended funds, and the balance for each category of projects (grants, loans, physical improvement, and special projects). The department reports on physical improvement projects acted upon during the past month. The report lists project progress, the date each step was taken (obligations of funds, field checks, cost estimates, opening of bids), and identifies the activity occurring during the month. Similar information is included on special projects. The group also receives a full report on the status of grants. Finally, the report contains information on city-wide community development projects impacting the neighborhood, such as demolition, code enforcement, tree removal, and paint assistance grants. The monthly and annual reports provide the neighborhood organization with complete information on the activities in its area, allowing the group to fully monitor existing projects and accurately plan for future efforts.

An important factor in the monitoring and development of projects is the accounting system

developed by the Community Development Department. The system allows the department to keep accurate records on the funds allocated to each neighborhood organization. This accounting information provides data for the monthly neighborhood monitoring reports and assists staff in monitoring the neighborhood organization. The system affords each organization the flexibility to adopt new projects, reallocate monies, and carry over funds from year to year.

LINCOLN

Southeast Nebraska

Location

Population: 150,000
2% nonwhite
Median income: \$9,928
1.9% unemployed
6% below poverty level

**Community
Socioeconomic
Profile**

**Mayor-Council. Seven-member council elected at large in
nonpartisan elections. Mayor elected directly.**

**Form of
Government**

Water and Sewer, Open Space

**Previous Federal
CD Grants**

4th year: \$2,009,000
3rd year: \$1,835,000
2nd year: \$1,079,000

CDBG Funding

Urban Development Department
Mr. George S. Chick, Director
129 North 10th Street, Room 325
Lincoln, Nebraska 68508
(402) 473-6677

**CDBG Program
Administered by**

NEBRASKA

A city with little previous experience in community development programs, Lincoln encourages existing neighborhood organizations to be active in its neighborhood-oriented community development strategy. Citizens participate in their neighborhoods and through a city-wide citizens' Community Development Task Force. The task force and the city council designated target neighborhoods as principal areas for CDBG funds. The city's Urban Development Department provides information and advice to the city-wide task force, and information and technical assistance to neighborhood organizations in proposal preparation.

BACKGROUND OF CITIZEN PARTICIPATION IN LINCOLN

Neighborhood organizations began to spring up in Lincoln around 1971, responding to problems of neighborhood deterioration. The mayor created an Office of Neighborhood Assistance to work with all existing neighborhood organizations and to serve as the liaison between them and the city government. The office became part of the Community Development Department, created in 1973, and its successor agency, the Urban Development Department.

Citizen interest and activity were traditionally channeled into many citizen boards. Approximately 600 citizens serve on 60 different boards, commissions, and committees which advise the city and county. Most appointments are made by the mayor and confirmed by the city council.

A citizen-based form of participation began in 1973 with the formation of the Lincoln Alliance. A grass roots coalition of civic groups and churches, the alliance provides a vehicle for citizens and neighborhoods to speak to the city government. Among the issues the coalition raised were tax assessment procedures, street widening, and redlining, but it has not been directly involved in the citizen participation process for the CDBG Program.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

First Year Funding

With a small first year allocation (\$487,000), the mayor and the council decided to concentrate CDBG expenditures on target neighborhoods to yield visible results and to avoid spreading CDBG funds. The city established a 15-member task force as the major vehicle to recommend CDBG allocations. Appointed by the mayor for the first year of CDBG, the task force was composed of city officials, business representatives and members of other city organizations. The task force approved the targeting strategy. The Clinton area, one of the most needy but best organized

neighborhoods at that time, worked on its own neighborhood plan the year before. There was little task force disagreement that Clinton was the most appropriate neighborhood to receive the majority of first year funding.

After the 1975 election of a new mayor, whose campaign supported citizen participation, a new urban development director was recruited from outside the city. The director changed the task force to a more neighborhood-oriented form of representation. The Urban Development Department also became an advocate in its link with neighborhoods, providing seed money and clerical and technical support and encouraging neighborhoods to organize.

Community Development

A new citizen participation process was begun in the third year of the CDBG Program. A 25 member city-wide Community Development Task Force is appointed by the mayor and confirmed by the city council. Members are appointed for two year terms which are staggered so only half the members are new to the task force at any one time.

There are four methods by which task force members are appointed. First, six members are appointed, one from each of the six comprehensive plan areas used by the Planning Department. Second, 11 members are appointed from target neighborhoods. Third, six at large members who have demonstrated an interest in community development activities are appointed from such groups as lending institutions, architects, engineers, homebuilders, contractors, and realtors. Finally, two city council members are on the task force. Citizens feel that this involvement increases the council's awareness and understanding of task force recommendations, and improves the chances of approval by the council.

The original citizen participation plan stipulated that a member missing two consecutive meetings in one year was automatically taken off the task force. However, when one city council member was the first offender, the task force recommended, and the council approved, an amendment making termination at the task force's discretion rather than automatic.

Task force activities are confined principally to making recommendations on CDBG and related program allocations. Limited information is exchanged between the task force and neighborhood associations except during the three to four month allocation period. At this time neighborhood representatives convey information between the two groups.

CDBG Allocation Process

The second, third and fourth year processes are based on the same general strategy adopted during the first year. Four primary target neighborhoods, including the Clinton area, were selected for the second and third year. Three

secondary target areas also were selected as eligible neighborhoods but were not guaranteed CDBG funds as a result of their status. The majority of CDBG funds allocated in the first three years of the program were spent in the four primary target neighborhoods. In the fourth year, the Urban Development Department and the task force considered increasing funding in secondary as well as other low- and moderate-income areas of the city.

Neighborhood organizations meet monthly. Leaders from neighborhoods meet on a continuing basis with Urban Development Department staff to discuss project proposals. The staff assists neighborhood leaders in determining the eligibility of proposals for CDBG funds and, if necessary, in restructuring the proposals, where possible, to conform to CDBG regulations. The Urban Development Department presents proposals from neighborhoods, other organizations and individuals to the task force. All proposals must go before the task force for recommendation. Information meetings are held in November, December, and January to review program guidelines and regulations. Proposals are submitted in January and February to the task force, which formulates a set of recommendations. At the first public hearing, conducted by the task force chairperson, the task force reviews its proposed set of recommendations. The task force then submits its recommendations to the Urban Development Department, which submits its own recommendations and task force recommendations to the mayor. At the second hearing, the administration presents both sets of recommendations and later submits them to city council. In the first four years of the program, the council accepted all task force recommendations except one.

Neighborhood Planning Process

The city Planning Department has been more interested in designing city-wide comprehensive plans than in preparing more refined neighborhood plans. A separate neighborhood planning process was developed in the second CDBG year. A neighborhood planning office was established within the Urban Development Department, partly in response to neighborhood pressure, and was given responsibility for working with neighborhood groups in the preparation of neighborhood plans.

Five neighborhood organizations (three residential and two business district) in primary or secondary target areas are preparing neighborhood plans in hopes that CDBG funded projects implementing the plan will follow. However, Urban Development Department staff made it clear to neighborhoods that there were no guarantees of funding.

Neighborhood Planning Subcommittee

In the first stage of the process, the neighborhood organization establishes a

neighborhood planning subcommittee, which usually consists of ten-to-15 members and meets at least monthly. The subcommittee works with a consultant selected jointly by the neighborhood organization and city officials, who advise the committee on the planning process.

The process of preparing the neighborhood plan usually begins with the presentation of data by the staff on such areas as land use, utilities, transportation, zoning, and traffic. The subcommittee then presents its assessment of the residents' desires and neighborhood needs. Finally, the consultant and staff present a report on the land use and other aspects of the plan, and recommend a strategy for implementing it. Information pertinent to the availability of funds, such as possible sources, is also provided. To be adopted by the city, the plan must be approved by the neighborhood organization and brought into conformance with the city's comprehensive plan.

Administrative Review

The second stage of the process is the city administrative review of proposed plan elements by a team known as the Neighborhood Planning Task Force, made up of members from several city departments (planning, police, public works, transportation, urban development, law and the mayor's office). This task force reviews proposed neighborhood plans and accompanying technical reports for consistency with the comprehensive plan and other departmental concerns.

Attached to the comprehensive plan was a statement outlining a new 15 step process neighborhood associations must follow to attach neighborhood plans to the comprehensive plan. The neighborhood plan approved by the neighborhood association is filed with the city planning director, who initiates a review process among appropriate city departments, agencies and other organizations. The planning director forwards recommendations of reviewing organizations to the planning commission, which holds a public hearing and presents recommendations to city council and the county board for final action. After a second public hearing, the council accepts or rejects the elements of the neighborhood plan as an official part of the comprehensive plan. City council action is subject to veto of the mayor, overridden only by five votes of the seven-member council. As neighborhoods complete the planning process, participants have been wondering whether their plans will actually be incorporated into the comprehensive plan and used as a guide for actual projects and programs in their neighborhoods.

This lengthy amendment process is used to address problems of nonconformity of neighborhood and comprehensive plans. It has not been favorably received in the neighborhoods which seek planning commission, city council and county board approval of their plans. There is fear that, after many months of hard work and long neighborhood meetings, the neighborhood plan will not be approved and the neighborhood's work

will be for naught. Neighborhood associations recognize that for a neighborhood plan to have any real meaning or effect, it must be part of and consistent with the comprehensive plan.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN LINCOLN

Information

City staff actively provides citizens with information on the CDBG Program. The Urban Development Department publishes a monthly newsletter, paid for with CDBG funds, which is mailed to neighborhood organizations. About 2,000 are printed monthly. A memo is mailed more frequently to the neighborhood president and to one or two other active persons in each neighborhood. A weekly radio show on Sunday mornings features neighborhood representatives and Urban Development Department staff members discussing neighborhood and community development topics. Other community agencies and organizations are also featured to discuss programs available in the community.

Encouragement of Neighborhood Organizations

Under contract with the city through the Urban Development Department, each primary and secondary neighborhood receives seed money of between \$700 and \$2,000 per year to cover clerical and other expenses, such as the printing and distribution of flyers, general office expenses, incorporation expenses, neighborhood workshops and occasional out-of-town transportation to workshops and conferences. Neighborhood groups often hold their own fund raising activities. One neighborhood group has hired its own part-time staff member to prepare grant applications to various funding sources on behalf of the neighborhood. It also divided itself into precincts and developed an extensive committee structure. Another neighborhood association established its own development corporation, an action which is being considered in still another neighborhood.

Hiring of Consultants for Neighborhood Planning

The Urban Development Department's neighborhood planners work closely with neighborhood residents and a consultant selected by the neighborhood. Both city staff and the particular neighborhood organization concerned suggest the names of consultants to present proposals. Both the neighborhood representative and city staff members interview the consultant. In each of the five neighborhoods which initiated plans, the Urban Development Department recommended a consultant, and the neighborhood made a recommendation. Where recommendations were the same, the agreed upon consultant was hired. When recommendations differed (this occurred in two out of five cases) a meeting was arranged with the mayor to resolve the issue. In both cases, the mayor agreed with the neighborhood.

Neighborhood Planning Process

The involvement of target neighborhood organization in preparing neighborhood plans allows residents to take a positive step in determining the future of their neighborhoods. Their involvement early in the process places responsibility in their hands. This allows them enough time to learn about land use and development and direct the comprehensive plan's impact on their neighborhoods.

Technical assistance

Upon request, the Urban Development Department staff assists neighborhood organizations in writing proposals. Their objective is to make neighborhood groups independent of staff in the preparation of proposals. The staff also receives citizen phone calls, and channels inquiries and complaints into the regular flow of city department work in order to prevent citizens from receiving the runaround.

SPOKANE

East Central Washington

Location

Population: 171,000
3% nonwhite
Median income: \$9,137
6.2% unemployed
9% below poverty level

Community
Socioeconomic
Profile

Council-Manager. Seven-member council elected at large in
nonpartisan elections. Mayor elected directly and sits as the
seventh member.

Form of
Government

Open Space

Previous Federal
CD Grants

4th year: \$4,500,000
3rd year: \$2,595,000
2nd year: \$1,568,000

CDBG Funding

City Plan Commission
Mr. Vaughn P. Call, Manager-Planning
309 City Hall
North 221 Wall Street
Spokane, Washington 99201
(509) 456-2765

CDBG Program
Administered by

WASHINGTON

Spokane has capitalized on the momentum of two successful city-wide development projects to break down barriers of distrust between city hall and many of Spokane's citizens. Drawing on the skills and neutrality of a nonprofit, community oriented consultant, the city has sparked organization in ten neighborhoods covering a substantial portion of the city. Spurred by Community Development Block Grant funds, these neighborhood organizations have direct influence through a city-level citizen body in the generation and selection of CDBG funded projects.

ORIGINS OF CITIZEN PARTICIPATION IN SPOKANE

Spokane is a major retail and commercial center for the surrounding Northwest area. Because of its location between passages of the Cascade and Bitterroot Mountain Ranges, the east-west lines of four national railroads ran along the Spokane River directly adjacent to the downtown business area, creating a substantial blighting effect on the downtown.

For several years beginning in 1960, the relocation of several retail stores and the establishment of retail branches in a newly developed shopping center on the fringe of the city prompted serious concern for the economic future of the downtown. In the mid-Sixties, fears of further blight and economic decline were created by the proposed sale of a portion of an island in the middle of the Spokane River. Adjacent to the downtown, this island property was designated for warehousing and industrial use.

Although rezoning of the city was accomplished in the late Fifties, the city government was unable to develop local interest in planning and redevelopment efforts until the Sixties, when the scare of shopping centers and the island sale mobilized downtown interests. There was little interest in acquiring federal funds through categorical grant programs; as a general policy, officials have preferred to refuse federal money whenever substantial federal influence has accompanied it.

The city council responded to these downtown problems by allocating funds to plan for the redevelopment of the entire 13 mile riverfront, particularly the downtown area surrounding the island. The council relied on its ten-member citizen City Plan Commission to advise on the preparation and implementation of the plan.

In the late Sixties, the city began a three-year process in which, during the first five months of each year, the city planning staff and the city Plan Commission went to citizens for advice. In the first year, between January and May, 1968, the plan commission formally presented four alternative concepts for a riverfront plan to approximately 150 community groups. Those present were asked to select from among alternative concepts, and to note any minor changes needed in the preferred alternative. In addition, all 1,100 property owners along the river

were invited to present their views to city planners. The concept favored by two-thirds of the citizens was selected. During the second and third year, the same groups were consulted during the same January to May period on the design and implementation of the approved concept. This process established an important precedent for Spokane: the extensive consultation of citizens by the city in the selection and implementation of a development plan.

Through extensive discussion over a two-year period, the four railroads were persuaded to consolidate their tracks and to renovate their lines within the city. The rails, bridges and yard equipment which had been an eyesore were removed. Park land and green space was developed on the island and along the riverbank. As a follow-up to the Riverfront Plan, downtown business interests and the city promoted the EXPO '74 World's Fair to celebrate the city's centennial. The major buildings for EXPO were constructed adjacent to the downtown. The success of these two projects created a momentum of confidence and optimism, particularly among downtown business and civic leaders. In the early and mid-Seventies, individual business and financial interests demonstrated confidence in the city through massive private reinvestment in the downtown area in office buildings, banks and department stores.

Despite the apparent success of the Riverfront Plan and the EXPO, however, an atmosphere of distrust existed between many Spokaneites and city hall. Two issues in the early Seventies illustrated this feeling. When citizens failed to give 60 percent approval to the proposed bond issues for a new airport and Riverfront Park, the city found alternative funds and carried out these two projects.

In addition to negative feelings concerning the responsiveness of city hall, many citizens had an underlying fear of federal programs and accompanying federal influence. They expressed opposition to the city's proposed participation in the Community Development Block Grant Program. However, with the decentralization of power to local governments under the Community Development Block Grant, Spokane officials decided to accept CDBG funds and to create citizen participation mechanisms in addition to the plan commission.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION

In 1973, the city prepared for an influx of federal funds. After studying the experience of riot-troubled cities, the plan commission concluded that a major reason for unrest in other cities was the absence of means for direct communication and joint experience in planning decisions. City officials, therefore, established new citizen participation mechanisms in Spokane.

Quality of Life Council

The city council appointed a 40-member Quality of Life Council as a "grass roots" body of citizens to advise the city council and the plan commission on goals and objectives. The ten City Plan Commission members are among the citizens appointed to the Quality of Life Council, and serve as its executive board. The chairman and vice-chairman of the plan commission serve as the chairman and vice-chairman of the council.

The Quality of Life Council meets more often than its required quarterly meetings. It is divided into ten standing committees, each chaired by a plan commission member. The committees are concerned with the city's physical, social and economic plans. For example, members of the Land Use Committee have taken the proposed land use plan to all neighborhoods in the city, soliciting the comments of residents. In addition, the Quality of Life Council establishes task forces from among its members. These task forces assist the plan commission in updating the city's comprehensive plan and develop the CDBG application through the program's citizen participation process.

Community Development Task Force

The 15-member Community Development Task Force is the main policy making body for the CDBG Program. It is appointed by city council from the membership of the Quality of Life Council. Two members of the citizen City Plan Commission serve as chairperson and vice-chairperson of the Community Development Task Force.

The task force meets with staff in the summer to map out a detailed schedule of meetings for all neighborhood and city level bodies involved in the September-February CDBG application process. The task force and staff adhere to a schedule which is published in the daily newspapers. During the busy September to November season, task force members often attend neighborhood and city-wide meetings twice a week.

Each year, the task force selects neighborhoods to participate in the CDBG Program. The task force also allocates a lump sum of CDBG funds to neighborhoods and then solicits neighborhood proposals for using that money. The task force presents its final recommendations for review to the Quality of Life Council, the plan commission and, ultimately, the city council.

Cooperative Administration by City Staff and a Consultant

The CDBG Program is administered by an Assistant to the City Manager for Planning and Community Development with a small staff of two planners. To augment staff during the September-November season and to add special communication skills, the plan commission

contracts with a local consultant, the Northwest Regional Foundation. The small staff of this nonprofit educational organization works as a part of the plan commission staff in citizen participation efforts. Its staff plays the role of a neutral third party between city officials and citizens and acts as facilitator in city-wide and neighborhood meetings.

Neighborhood Steering Committee

In neighborhoods where some residents have an interest in participating in the CDBG Program, leaders are encouraged to call a neighborhood meeting. The consultant staff is available to the neighborhood to help organize and facilitate the meeting. At the neighborhood meeting, an open steering committee is established by a vote of those present. The steering committee, with assistance from plan commission staff and the consultant team, prepares the neighborhood's proposals, sets priorities and presents them to the Community Development Task Force.

The First Year of CDBG

From the first year of the CDBG Program, the City Plan Commission and the Community Development Task Force have followed a neighborhood-based approach. The task force established three guidelines to be met: 1) A participating neighborhood must evidence need and be compatible with HUD guidelines; 2) a neighborhood must show interest and ability to work together; and 3) neighborhood projects must be eligible CDBG activities, technically feasible, and a reasonable use of funds.

Using task force, staff, consultant, and college student forces, initial contacts were made with citizens in about five neighborhoods. These contacts were made door-to-door, on the street, in shopping centers, and in parking lots. The aim was to determine which neighborhoods would be most interested and supportive, and hence most likely to benefit from the CDBG Program.

The plan commission then called two workshops at the end of January, one on the north and the other on the south side of Spokane. The consultants were used as meeting facilitators, and plan commission staff served as resource persons. This was the city's first formal attempt to explain the CDBG Program and citizen participation process to citizens. The workshops were publicized through newspaper ads and by direct mail using a city mailing list. To complement the Northwest Regional Foundation's organizing efforts, the Leadership Institute of Spokane, a second local consultant firm with experience in conducting meetings, was hired to conduct these two workshops. The neutral roll these consultants played in the first year process was critical in allaying citizen suspicion and skepticism. After the workshops, the task force met and recommended

to the plan commission that two neighborhoods be chosen for the first year CDBG Program.

The plan commission held a public hearing to accept testimony on community development. The hearing's purpose was to finalize the selection of target neighborhoods. At the crowded hearing, at least half of the testimony dealt with the issue of whether the city should participate in the CDBG Program. Many residents feared that federal funds would also bring federal direction, and perhaps federal control. One council member actively fought the city's participation in the CDBG Program neighborhood by neighborhood, in public meetings, and in council meetings. Though unsuccessful, her candidacy for Mayor raised Spokane's participation in CDBG to a city-wide issue.

Despite the opposition voiced at the public hearing, the city remained in the program, and the plan commission designated two neighborhoods as target areas for the first year. The neighborhoods were each allocated \$140,000. In the two weeks following the public hearing, the consultant helped the neighborhood citizens conduct three types of meetings in each of the two target neighborhoods: a brainstorming session in which residents put together lists of desired projects; compromise sessions, which limited the projects; and report sessions in which the draft report to the task force was prepared and approved. Between compromise sessions, the two neighborhoods set up neighborhood steering committees. Technical advice and meeting facilitation were supplied to the neighborhoods by the plan commission staff and the consultant. The steering committees later presented the actual project recommendations to the task force in informal sessions.

After hearing neighborhood reports, the task force and plan commission staff put together a draft application. The application, along with recommended projects, was sent to the Quality of Life Commission and plan commission for review. The plan commission held public hearings, and finally the application went to the city council for approval. Virtually no changes were made in the neighborhood and task force's recommendations.

Allocation Process

After the first year the allocation process became more refined. However, while the number and sequence of the steps were altered, the overall approach remained the same. The process begins in the fall with the publication of a four-page, pull-out advertisement in the newspaper which lists the date, time and purpose of all meetings in the process.

The plan commission holds an initial informational hearing which concentrates on broad issues, major categories of funding, and target neighborhoods. The following week, the Quality of Life Council holds a town hall meeting at which they discuss with citizens goals and objectives for Spokane and its neighborhoods.

Several new neighborhood groups usually ask to be included as target areas. After discussion with the Quality of Life Council, the plan commission notifies each neighborhood of the approximate amount of money available to fund projects in their neighborhood.

For four weeks following the town hall meeting, neighborhood groups and citizens meet several times to assess their needs and propose a list of project priorities to the task force. The consultant and plan commission staff members serve as meeting facilitators. Those attending the meeting are divided into groups according to their interests (such as paving, parks, and social services) to elaborate neighborhood needs in that area. The groups then come together to discuss their needs, and compromise in developing a priority list of particular projects. For each neighborhood, this process often takes at least two or three meetings. After each neighborhood completes its allocation process, the steering committee assigns one or two persons to work with the plan commission staff and the consultant to write a narrative describing each proposal and attaching an estimated dollar amount. After all neighborhood meetings are held, the task force schedules each neighborhood to appear before it to present neighborhood proposals. At this time, each steering committee chairperson makes an oral presentation, submits the written narratives and answers questions asked by task force members. After all neighborhood presentations are made, the task force votes on each neighborhood, on each project, and on the overall allocation. During the time neighborhood meetings are held, the task force holds an open meeting to receive proposals on city-wide projects and special block-level projects which are expected to benefit the whole community.

During the project planning period, staff members review proposals with a technical committee of department heads who will be implementing approved projects. The staff also informally reviews projects with HUD field representatives to ensure project eligibility.

The task force forwards a preliminary draft application to the full Quality of Life Council. Within one week, the Quality of Life Council holds an open meeting to hear public comment on the proposed application prior to approving or revising it. A mailing is sent to all citizens on neighborhood mailing lists, notifying them of the meeting.

Finally, the plan commission holds a public hearing on the application prior to sending it to the city council. Throughout the four years of the CDBG Program, only minor or no changes have been made on the work of the neighborhoods and the task force by the Quality of Life Council, the City Plan Commission, or the council.

In June, half of the members of the task force begin work on the next year's application, while the other half remain as a compliance committee. The compliance committee works with neighborhoods and city staff to make sure the implemented projects conform to citizen intent.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN SPOKANE

Information

The beginning of each program year is marked by the printing of a four-page, pull-out advertisement in the local newspaper. The ad concisely highlights CDBG objectives, available funds for Spokane, and eligible and ineligible projects. It directly solicits and encourages citizen participation. The date, time, place, and purpose of all information and decision-making meetings, including all city level and neighborhood level sessions, are clearly listed. The names of task force members are included, as well as sources of further information. A diagram of the process clarifies the various steps in the process such as city-wide public hearings, neighborhood meetings and town meetings.

Staff and Consultant Support

The consultant is not independent but works with the small plan commission under the assistant city manager for planning. This single staff works directly with citizens. This relationship integrates citizen activities into the top policy decision-making of the city. Through the services of the neutral citizen participation facilitator, the city has established credibility in the citizen participation process. The consultant has guided neighborhood associations into relatively open governing structures.

Any neighborhood resident can volunteer to be a steering committee member. Hence, the size of steering committees fluctuates, depending on citizen interest. Despite the election of a steering committee chairperson, leadership often has been shared by committee members. The consultant staff's skills in group process help neighborhoods organize and function. The plan commission staff and the consultant staff attend to all necessary organizational details such as advertising meetings and arranging for a meeting place. Once the neighborhood process begins to take on a life of its own, the consultant staff gradually recedes into the background, letting neighborhood residents take over the organization and work directly with plan commission staff and the task force.

Technical Assistance

Staff members from the Public Works and Engineering Department, the Parks Department and the plan commission attend at least one neighborhood meeting during the time neighborhood groups are formulating projects. They provide cost estimates and advice on project feasibility to neighborhood groups, thereby allowing residents to make needed adjustments in their proposals at an early stage. Skeptical at first,

several department representatives have had very satisfying experiences working with neighborhood groups. Neighborhood residents become acquainted on a first name basis with city staff who later implement projects in their neighborhood.

Training

An all-day skills workshop was held early in the five-month allocation process for the fourth year. About 30 participants could choose to attend at least three different 1 1/2 hour sessions taught by expert volunteers. The workshop included sessions on leading meetings, developing by-laws and becoming incorporated, writing reports and making use of cable television.

The citizen participation process has also developed citizen leadership skills. Through their experience in citizen participation in the CDBG Program at the neighborhood level, three persons have now been appointed to either the Quality of Life Council or the City Plan Commission.

Town Meeting

The town meeting previously served as a common forum for discussion of proposals. It has now been modified into a resource service for neighborhoods in the CDBG Program and in several other areas of government. Several agencies not directly concerned with physical development presented displays and/or exhibits, and were available to answer questions. These included the Spokane Transit System, the Parks Department, a regional health agency, a Citizen Advisory Council on Transportation, and the city and county planning departments. This effort attempts to get residents to identify their broad overall needs and to see their neighborhood beyond the context of the CDBG Program.

Because of the peculiar pattern of Spokane's city bus routes, the transit company dispatched special buses to designated neighborhood locations to carry residents to and from the town meeting.

Citizen Role in Implementation

A compliance committee, composed of former task force members, monitors the implementation of CDBG projects they approved as task force members. The chairperson of the task force generally serves as chairperson on the compliance committee. Citizen complaints on approved projects are handled by the compliance committee.

Spokane is building two community centers with CDBG funds. Neighborhood residents have had a major role in site selection, building design, architect selection and designation of the services to be rendered at the center. These decisions are the subject of open neighborhood meetings.

TACOMA

West Central Washington, on Puget Sound

Location

**Population: 155,000
9% nonwhite
Median income: \$9,537
7.9% unemployed
9% below poverty level**

Community
Socioeconomic
Profile

Council-Manager. Eight council members elected in nonpartisan elections, five elected by district, three elected at large. Mayor elected directly and sits as ninth member of council.

Form of
Government

**Urban Renewal, Neighborhood Development Program, Model Cities,
Open Space**

Previous Federal
CD Grants

**4th year: \$3,304,000
3rd year: \$2,459,000
2nd year: \$2,459,000**

CDBG Funding

**Community Development Department
Mr. Gary Sullivan, Director
Third Floor
740 St. Helena Avenue
Tacoma, Washington 98402
(206) 593-4240**

CDBG Program
Administered by

WASHINGTON

Tacoma's allocation process provides clear and open points of access for citizens and neighborhood groups. An appointed Citizen Advisory Committee sets priorities for and reviews proposed community development projects. Many of these projects are proposed originally by neighborhood groups and individual citizens.

Tacoma's many active neighborhood organizations have operated independently of city government. A CDBG funded pilot project for an elected neighborhood council has created a new model for Tacoma's neighborhood organizations.

BACKGROUND OF CITIZEN PARTICIPATION IN TACOMA

Tacoma's economy relies heavily on bulk shipping through its port facility and on government expenditures, especially the military, which is the area's largest employer. The city's labor force is predominantly blue-collar, and its neighborhoods maintain a distinct identity even though they are spread over the city's large geographic area.

Tacoma's central business district has experienced problems of downtown deterioration and blight. To cope with these problems, the city participated in both the Urban Renewal and the Model Cities programs. A Project Area Committee was used to consult with citizens in the urban Renewal program. However, the main factor influencing the form of the city's citizen participation process in the CDBG Program was the city's experiences with three citizen committees: the Model Cities Board, a General Revenue Sharing Committee and a Budget Policy Committee.

The Model Cities program was governed by a 25-member executive board. Sixteen members were elected by the neighborhood and nine members, who generally did not reside in the neighborhood, were appointed by the mayor. Eight board task forces, working on specific issues, involved citizens. Attendance at executive board meetings was high, and often 200 or more citizens attended joint meetings of all eight task forces. A small compensation was paid to all members to defray the cost of attending meetings.

The General Revenue Sharing Committee was appointed by the mayor at the beginning of the federal government's General Revenue Sharing Program to advise on the use of funds. The committee makes recommendations on only a portion of the city's revenue sharing funds, although it once advised on the entire allotment.

A Budget Policy Committee was appointed in the early Seventies to summarize budget information for the city council. However, in 1977, the council disbanded the committee and assumed the committee's functions.

The Community Development Department was created with the merger of the Model Cities agency and the Urban Renewal agency. The director of the Urban Renewal agency became the director of the Community Development Department. This

department assumed administrative responsibility for the Community Development Block Grant Program.

PROCEDURES AND STRUCTURE OF CITIZEN PARTICIPATION IN CDBG

Citizen Advisory Committee

The Community Development Department was instrumental in conceiving and implementing Tacoma's citizen participation process. City officials decided two key issues in developing a citizen participation structure: to directly solicit projects from citizens rather than formulating projects within the departments; and, to have a citizen committee rather than city council hold initial public hearings to hear neighborhood needs and proposed CDBG projects.

In the first year of the CDBG Program, the mayor appointed all members of a 20-member Citizen Advisory Committee. To facilitate the transition from Model Cities to CDBG, five members of the Model Cities Executive Board were appointed to the advisory committee for the first program year. In 1975 there was a change in the basis of representation on the city council, from an all at large council to a five district and three at large member council. This change resulted in the creation of the current system for appointing advisory committee members. Each of the eight city council members appoints two citizens as committee members, and the mayor appoints the remaining five members. This resulted in an advisory committee more representative of neighborhoods and the community at large in the fourth year than it was in the first year.

The Citizen Advisory Committee holds public hearings and business meetings. It elects its own chairperson, and formulates its own rules of procedure for its business meetings. To prevent giving unfair advantage to one person or group, the committee has set a policy of not permitting anyone other than committee members and staff to speak at business meetings. While noncommittee members may attend meetings, they may not address the committee as a whole, but can approach members individually to discuss particular projects.

Allocation Process

The community development director and staff work closely with the Citizen Advisory Committee by participating in an orientation and training session on the CDBG Program held in the fall. In November and December the advisory committee holds five public hearings, one in each of the five council districts, to solicit testimony from citizens on neighborhood needs and proposed projects.

For the first three years of the CDBG Program, advisory committee members listened to testimony with little or no comment, but in the

fourth year committee members began to ask questions of and engage in discussions with those who testified. In the fourth year, a total of 700 people attended the five hearings, and over 100 people presented testimony. Over half of the testimony focused on particular proposals. In the days and weeks following the fourth year hearings, the Community Development Department received over 100 proposals. Approximately half of these were from community organizations. The remainder were submitted by city departments, agencies and individuals.

Simultaneous with holding public hearings in November and December, the committee meets separately with community development staff in an initial set of business meetings to consider staff-prepared community development and housing assistance plans. After the public hearings are concluded and project proposals are submitted, the advisory committee meets to bring the number and cost of proposed projects in line with available CDBG funds.

Proposals are submitted on forms provided by the department which the community development staff then summarizes on standard worksheets. The proposals are sent to a city interdepartmental Management Review Team, made up of representatives from various city departments. The team reviews each proposal for legality (corporation counsel); for financial impact on the general operating budget (finance department); for cost estimates (public works); for environmental impact (planning department); and for social impact (human development department). Comments on each proposal are made on the worksheets, which provide the Citizen Advisory Committee with immediate information in a convenient form for decision-making.

In January the advisory committee meets in open business sessions to consider the various parts of the CDBG application. The committee goes through the entire list of projects, and eliminates those which are not eligible activities, do not meet a very general set of guides formulated by the city council, are not located in areas designated to receive CDBG funds, and do not fit into the Comprehensive Community Development Plan.

After the first review, the committee goes through successive tasks, entertaining motions to either keep projects on the list for consideration and fund them at certain levels or drop them. This process ceases when the dollar amount of projects equals the amount of funds available. At this time, the administrative budget and several Community Development Department programs (an economic development program, a housing rehabilitation program, and historic preservation program) are also submitted to the committee for approval.

After developing priorities, selecting projects, and approving the CDBG application, the community development director and assistant director, the Citizen Advisory Committee

chairperson and several committee members present the package to the city council in an open study session. This provides council members an opportunity to ask questions informally and to discuss the application with those involved in its development. The council makes a recommendation on the application the week following the study session.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN TACOMA

Dissemination of CDBG Information to the Public

The CDBG citizen participation process is advertised in the major and smaller community and minority newspapers. About 36,000 flyers are distributed in schools for students to take home. Announcements are mailed to community groups, and several groups telephone their members to encourage them to attend public hearings. Radio announcements also are made, and the director and assistant director usually appear on local television to publicize the CDBG Program.

Staff Support

The community development staff actively supports the Citizen Advisory Committee and the general citizen participation process. In addition to attending public hearings, the director and assistant director speak to groups across the city, including those directly involved in the CDBG citizen participation process. The attendance of top officials at neighborhood meetings strengthens support for citizen participation within the city government. Staff members arrive an hour or more before public hearings to help anyone in formulating and preparing a proposal. Staff is also available later to provide technical assistance on proposals to citizens.

The community development staff also works closely with the Citizen Advisory Committee. In initial business meetings, the staff explains the CDBG Program, and highlights issues for the committee. The staff's summary and synthesis of proposals and planning information simplifies the advisory committee's decision-making tasks.

Coordination of Support and Information from Other City Departments

The technical information provided by the Management Review Team also simplifies the work of the advisory committee. The legal, financial, environmental, and social comments on each project collected in a single volume provide comprehensive information to the committee and the city council.

The management team and its committees occasionally have offered their own views on community development. In one case, a

subcommittee of the management team ranked the proposals for which they had provided technical information. In another, it was proposed that the management team meet with the Citizen Advisory Committee to consider and rank proposals. However, the committee resisted efforts to enlarge the role of other city departments in the CDBG allocation process. The advisory committee recently voted to have the name of the management team changed to the technical team, suggesting that the team have a more narrowly defined role in the CDBG process.

The involvement of departments through this central mechanism provides the comprehensive and detailed information required for advisory committee decision-making and subsequent implementation of CDBG projects. Departmental assistance is provided according to the Citizen Advisory Committee's needs and schedules instead of the needs and schedules of individual city departments.

In the second and third year, the advisory committee successfully resisted suggestions from other city hall officials that it follow an allocation procedure allowing each committee member to secretly rank projects and then have staff compile the rankings. The Citizen Advisory Committee chairperson at the time, later a member of city council, argued that following such a procedure would allow secret deals to be made among committee members. The public would be unaware of the basis for the decisions which resulted.

Implementation of Projects by Neighborhood Councils

The Citizen Advisory Committee has little or no role in the implementation or monitoring of projects. Neighborhood groups have, for the most part assumed these responsibilities. One active neighborhood organization requested and received funding for a multiservice center.

Residents in the neighborhood served by the center have met with the architect to make sure that the facility design reflects community desires. In addition, a formal neighborhood committee is being formed to advise in the management of the center.

In another neighborhood, a coalition of various community groups pooled their efforts to request another multiservice community center, and proposed that an elected neighborhood council advise on the operation of the center. Both the community center and the neighborhood council were funded for the fourth year program.

It is not entirely clear what form the councils will take or what effect, if any, they will have on the CDBG citizen participation process.

Citizen Support for the Process

The Community Development Department staff has given serious attention to citizen requests, and the council has adhered closely to citizen recommendations. Both the advisory committee and the department staff were concerned that people whose proposals were not funded would be indignant, attacking the committee and the department staff, and in general injecting dissension into the process. However, despite intense citizen lobbying of the advisory committee during the allocation process, neither they nor the community development staff have been the target of attack or criticism in subsequent public hearings in the four years of the CDBG Program. Attendance at the hearings and the number of proposals presented has increased. Citizens actively lobby advisory committee members through phone calls, letters and personal contacts. One committee member received 200 letters and cards from citizens concerning projects pending before the committee. There is strong citizen support for the citizen participation process and for the Community Development Department.

**Citizen Participation in Cities
of Between 50,000 and 100,000**

ASHEVILLE
NORTH CAROLINA

CAMBRIDGE
MASSACHUSETTS

NEWTON
MASSACHUSETTS

SALEM
OREGON

ASHEVILLE

Southwestern North Carolina

Location:

Population: 58,000
19% nonwhite
Median income: \$7,796
5.4% unemployed
15% below poverty level

Community
Socioeconomic
Profile

**Council-Manager. Seven-member council elected at large in
partisan elections. Mayor elected from among council members.**

Form of
Government

Urban Renewal, Model Cities, Water and Sewer, Open Space

Previous Federal
CD Grants

4th year: \$2,095,000
3rd year: \$2,822,000
2nd year: \$3,238,000

CDBG Funding

Division of Community Development
Mr. Logan Delany, Community Development Coordinator
City of Asheville
Asheville, North Carolina 28802
(704) 255-5721

CDBG Program
Administered by

NORTH CAROLINA

Asheville's citizen participation process grew out of its experience and dissatisfaction with citizen participation in the Model Cities program. Asheville attempted to create a process which would allow citizens to communicate directly with the city council, without the interference of another level of bureaucracy. This process required patience and a willingness to listen on the part of both the city council and the community development staff.

BACKGROUND OF CITIZEN PARTICIPATION IN ASHEVILLE

Asheville employed an elaborate process to garner citizen participation in the Model Cities program. Citizen groups were created for each Model Cities precinct. The Model Cities Commission, composed of citizens from all of the Model Cities areas, coordinated the work of the precinct groups. Task forces, each of which was assigned responsibility for a topic area, considered suggestions and complaints of precinct groups and made recommendations to the Model Cities Commission. After reviewing the task forces' recommendations, the Model Cities Commission made recommendations to the city council. This complex structure required 16 paid community outreach workers. These workers encouraged citizen involvement by day-to-day contact with residents of Model Cities neighborhoods.

The Model Cities structure produced mixed results. Some citizens who were able to put a great deal of time and effort into the process became involved in all phases of Model Cities decision-making. However, many citizens who were not willing or able to commit a great deal of time and effort had little influence. The most active citizens controlled the process. Even when relatively inactive citizens could communicate effectively with their local Model Cities organizations, their message usually did not get to the City Council intact due to the Model Cities bureaucracy. Because of the elaborate structure of the Model Cities program, it took so long to get citizen advice on new policy proposals that policies sometimes were obsolete before they were implemented.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

At the inception of the CDBG Program, the city recognized the need to allow individual citizens to make their voices heard. There was strong sentiment in the city administration for a process that provided direct citizen access to the city council and avoided the bureaucratic process of the Model Cities program. As a result, Asheville now has a citizen participation process that stimulates a great deal of citizen input without imposing an additional layer of bureaucracy.

The Formal Process

Asheville's formal citizen participation process relies on an ongoing series of public meetings which the city uses for both giving information to and receiving information from citizens in the target areas. During the first two months of each quarter of the year, the City of Asheville holds a public meeting in one of the CDBG target areas each Tuesday night. The meetings are held on a rotating basis so that a meeting is held in each of the city's seven target areas about once every seven weeks during active periods of the process.

The meetings are run by the community development coordinator with the city manager and at least one city council member in attendance. Approximately 40 to 60 citizens attend each meeting, and six or seven individuals make statements. Each citizen who attends a meeting is asked to write his or her name and address on a sheet of paper. This list becomes part of the official minutes of the meeting, and is used to mail notices of future meetings. Meetings are also publicized by newspaper and radio announcements.

Needs Assessment—Throughout the year, the city requests and receives citizen comments and complaints at public meetings. These meetings form the basis for Asheville's formal process to develop a CDBG application. The steps in this process include:

Dissemination of Pre-application Information—During the pre-application process, it is necessary to inform citizens of program requirements and regulations. In August, September, and October, the community development coordinator makes a presentation at the public meetings at which time he explains CDBG regulations and presents maps and charts which make the program understandable to city residents.

Identification and Development of Eligible Projects—Citizens are asked to submit proposals, in oral and written form, for the use of CDBG funds. The proposals are submitted at the public meetings held in the period immediately preceding the development of the CDBG application. The citizens at these meetings rank the proposals in order of priority.

Project Revision and Selection—After suggestions and proposals have been gathered from citizens, city staff reviews them for eligibility and estimates their costs. Projects are then submitted to a special committee of the city council selected by the mayor. This committee meets with staff in open sessions to review, develop priority rankings for, and recommend projects to the city council. The committee's recommendations are then presented to citizens for their comment at a series of neighborhood meetings.

City-wide Public Hearing and Submission of Application—A city-wide public hearing is held by the city council prior to the council's final approval of the application. It is then submitted to HUD.

Monitoring—Although some information on project status was conveyed at public meetings,

citizens complained that they were not consistently informed of modifications in planned projects. In one case, citizens were not fully informed when the city council considered scrapping some of the projects planned for the third year in favor of a park. In general, the financial workings of the program are so complicated that many citizens, as well as some city council members, have a difficult time understanding where money is being spent. Consequently, citizens do not play an important role in the monitoring of the CDBG Program.

The Informal Process

Although there are many neighborhood groups in Asheville, some of the most active groups in the city have not become intensely involved in the city's formal process of citizen participation in CDBG. These groups usually appear at only one or two of the most important city meetings in their area; they do not generally become involved in formal project selection, modification or revision. The groups do not usually present detailed formal proposals or perform more than a cursory monitoring of the projects selected.

While there is no formal provision in Asheville's process to make use of neighborhood groups (usually called community clubs), these groups play an important part in the informal process. They are active in most of the city's target neighborhoods. The groups operate independently of each other, and do not have a city-wide coordinating body. While several groups originally organized to influence community development, almost all of the groups now address a variety of issues and in some cases organize social functions.

The extent of involvement in CDBG among neighborhood groups varies. In some neighborhoods, monthly meetings are almost entirely consumed with community development issues; in other neighborhoods very little time is spent on these issues. In some neighborhoods the only contact the community club has with community development officials is an occasional phone call by the president of the club to the community development coordinator to check on the status of a project. In one neighborhood where a \$12 million comprehensive sewer, street, and housing project is planned, the community club has been very active. In a four-month period a steering committee, representing the club, had over 300 hours of meetings with city officials, including the community development coordinator and the consulting firm planning the project. The group has successfully requested that the consulting firm hire a neighborhood resident to act as full-time liaison with neighborhood residents.

The main role of neighborhood groups in

Asheville's formal process is the identification and development of eligible projects. Each group generally meets in a working session approximately one week before the city holds a public meeting in its neighborhood. The group identifies and ranks needed projects, compiles a written list, and often chooses a speaker to present this list at an upcoming meeting.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN ASHEVILLE

Regular Public Meetings with City Officials

Asheville's citizen participation process does not rely on an ongoing citizen advisory group. The process is relatively unstructured and relies heavily on informal communication.

Asheville holds many public meetings which allow all citizens to become involved in the process. Individual citizens may make statements directly to city officials without the interference of an additional layer of bureaucracy. Neighborhood groups also work closely with city officials on particular CDBG projects.

Open Working City Council Meetings to Rank Projects

A special committee, selected by the mayor from members of the city council, works with city staff in an open session to review, develop priority rankings of, and finally recommend CDBG projects to the full city council. Because this is an actual working session, citizens are able to view and understand the process by which the city council makes decisions. The process also gives citizens access to all information that the city council receives. This information is important when citizens later are asked to comment upon this committee's recommendations.

Recording of Detailed Minutes of Public Meetings

A staff person is present at public community development meetings to record minutes of the meeting. The minutes are kept in the Community Development Office where they are available for citizens to review. The minutes are also sent to all residents who are on the mailing list. The minutes contain a listing of the names of everyone who attended the meeting, a description of topics discussed, CDBG projects proposed, and any written statements citizens submitted at the meeting. This collection of minutes allows citizens who have missed a meeting to obtain a full and accurate description of it.

CAMBRIDGE

Eastern Massachusetts, adjacent to Boston

Location

Population: 100,000
9% nonwhite
Median income: \$9,815
6.9% unemployed
9% below poverty level

Community
Socioeconomic
Profile

Council-Manager. Nine-member council elected at large through proportional representation in nonpartisan elections. Mayor elected from among council members.

Form of
Government

Urban Renewal, Model Cities, Open Space, Neighborhood Facilities

Previous Federal
CD Grants

4th year: \$3,343,000
3rd year: \$3,458,000
2nd year: \$3,746,000

CDBG Funding

Community Development Department
Mr. David R. Vickery, Assistant City Manager for Community Development
City Hall Annex
Cambridge, Massachusetts 02139
(617) 876-6800

CDBG Program
Administered by

MASSACHUSETTS

A city of many organizations and interest groups, Cambridge has tried to develop a citizen participation process which stimulates advice from all segments of the community. It has developed a process which does not duplicate existing organizations or require a great deal of time from participants. The city promoted considerable citizen involvement during the third year of CDBG, but that involvement has subsided in the fourth year with the institution of a citizen participation process which encourages agency participation.

BACKGROUND OF CITIZEN PARTICIPATION IN CAMBRIDGE

Cambridge, a city of only 6.2 square miles, has the fourth highest population density in the country. It is an old city in which housing, streets, sidewalks, and sewers need major upgrading. It has little open space and almost no room for new development. The city's two major universities enlarged their campuses by engulfing neighboring properties to build dormitories, classrooms, and parking ramps. Cambridge also has attracted students from other schools in the Boston area as well as young professional people. The popularity of the city has driven up housing costs drastically. Prices of homes, 80 percent of which were built before 1939, are escalating rapidly. Eighty-two percent of housing units in Cambridge are rental units owned by absentee landlords. The City adopted a rent control ordinance in 1971, which has moderated cost increases in rental housing. Rent control has been a point of intense controversy in the city.

Community groups thrive in Cambridge, including the League of Women Voters, the Cambridge Civic Association (a liberal political organization which endorses a slate of candidates for election), church groups, ethnic organizations, political groups of all persuasions, and tenant, neighborhood, and block groups. In the late Sixties, several neighborhood organizations were strengthened by the threat of a highway project that would have destroyed several blue-collar neighborhoods. These groups joined in a coalition with Boston neighborhood groups to successfully pressure the governor to stop construction.

Cambridge has been an active participant in federal grant programs. One large area was cleared for redevelopment under the Urban Renewal Program, but plans for rebuilding have just begun to be implemented after years of delay. In the Sixties, the Cambridge Redevelopment Authority wrote plans to clear several neighborhoods for urban renewal. The residents of East Cambridge organized to force the redevelopment authority to modify its plans to allow for rehabilitation. No demolition took place in other neighborhoods.

The Model Cities program in Cambridge operated under the direction of an elected board from the Model Cities neighborhood. When direct

funding for Model Cities was withdrawn and the staff went to work for the city, support became factionalized and the organization did not continue.

In 1974, the Department of Community Development, which had succeeded the Planning Department in the late Sixties, began a comprehensive planning process with extensive citizen participation to update the city's comprehensive plan.

Planners were assigned to each of the city's 13 neighborhoods. They mailed announcements of the first neighborhood meetings to all city residents. At these meetings, general neighborhood issues were discussed. The neighborhood meetings led to the establishment of a Comprehensive Planning Advisory Group of 55 citizens nominated by the 13 neighborhoods. The Comprehensive Planning Advisory Group met weekly for a year and wrote an eight-part plan covering land use, housing, transportation, the economy, the environment, the universities, finances, and public services and facilities. The comprehensive plan was published in tabloid form and widely distributed in 1976. A new director of the Department of Community Development chose not to pursue the expected process of refining the comprehensive plan into neighborhood action plans. However, the work that was done in this planning process was later used in developing the CDBG Program.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

Because Cambridge is a highly organized and politically active community with many interest groups, the Department of Community Development wanted to create a process for citizen participation in the CDBG Program which did not duplicate existing organizations, exclude citizens who were not members of organizations, or require a great deal of time from participants. The process has changed substantially each year.

The first year, the city manager was concerned with submitting the application on time and asked established agencies to send representatives to an advisory committee to respond to projects that he already had decided to fund. Representatives from the Cambridge Economic Opportunity Commission (a Community Action Agency) resigned from the committee, claiming it a fraud. Twelve of the original 35 members remained active on the advisory committee through the development of the application.

The second year, the city mailed notices to all residents informing them of the formation of a Block Grant Advisory Committee. Ninety citizens who attended the first meetings became members. The same six neighborhood planners who had staffed the comprehensive planning effort organized neighborhood meetings. Because an extensive planning process had already occurred in each neighborhood and goals and objectives for

neighborhood improvement had been developed, the planners asked citizens to formulate projects eligible for CDBG funds. Neighborhood organizations, agencies, and city departments wrote proposals for CDBG funding. The Block Grant Advisory Committee met at city hall frequently over a two-month period to develop a CDBG budget to recommend to the city manager. The committee received extensive staff support from the Department of Community Development. The group had a formal membership, but anyone attending a meeting could participate. People who attended lobbied for projects they supported. At the last meeting of the advisory committee, those present voted individually to rank the proposed projects. The staff compiled the individual votes into a list of priority projects to be included in the application. The city manager then prepared his final draft of the application, which included most of the citizens' recommendations, held a public hearing, and referred the application to the city council.

Third-Year Process

Cambridge's third-year process built on the city's previous experience and was its most imaginative. Because the neighborhood-based discussions of the second year had produced more neighborhood projects than were able to be funded, the Community Development Department decided that neighborhood meetings were not necessary again. A few neighborhood-based organizations requested meetings, and they were conducted by department staff members. Notices of the formation of a new Block Grant Advisory Committee were placed in the newspaper and sent to those who had participated in previous years. Anyone could become a member by simply attending a meeting. One or two meetings were held at the beginning of the budget process, in the early fall. At these meetings, staff described categories of projects that could be funded with CDBG monies. For the next month, neighborhood groups and departments and service agencies prepared proposals. Over 150 proposals were submitted. These were compiled into what was known as the "Green Book", which was distributed to all participants. The Advisory Committee met four or five more times to listen to each initiator present a three-minute speech about his or her proposal.

At the final meeting, each of the 400 people attending received \$3,458,000 in play money. A large envelope was on display at city hall for each of the projects included in the Green Book. Each participant was required to distribute the currency to the envelope for favored projects. A participant could allocate less money than the initiator requested for a project, but not more, and had to distribute all of the money. The staff compiled the votes and developed a list of the 50 most favored projects. The city manager developed a draft application that included most of the projects that had received a high priority rating from citizens.

Two public hearings were then held to obtain citizen comment on the draft application. No changes were made in the priorities as a result of these hearings. Following the hearings, the city manager submitted the final application to the city council, which held its own public hearing before approving the application. The council has not been very involved in the CDBG Program and has not changed a single item in the CDBG budget.

Fourth-Year Process

The fourth year represented a retrenchment from the open process used in the second and third years in response to new federal regulations which required community development planning. The planners in Cambridge considered the voting process used in previous years a political rather than a planning process. As such, the Department of Community Development decided to develop a mechanism that involved less lobbying and more planning. The Block Grant Advisory Committee, which consisted of all 400 people who had participated in the third-year process, continued to exist, but had no formal role in application development.

In September, the city manager announced his general recommendations for the expenditure of CDBG funds. The Department of Community Development held a series of workshops which were attended by people interested in housing, public services, and community development. Most people involved in the workshops came from agencies seeking funding (such as the Council on Aging, housing rehabilitation corporations, and social service providers) rather than neighborhood groups. All proposals from neighborhood groups, agencies, and city departments were distributed to one of the three workshops. A dollar figure, based on the city manager's recommendations, was assigned to each workshop. Each workshop was to meet four or five times to develop a recommended list of projects, within the budget constraints, for the city manager.

The workshops were conducted during a four-week period. The staff who attended the meetings wrote reports on the activities and recommendations of each workshop, and made their own recommendations to the city manager for the fourth-year application. The city manager then wrote the draft application and held a public hearing to discuss it. Workshop meetings and public hearings were advertised in the local newspaper. The fourth-year's limited involvement of citizens in determining the recommended allocations and the heavy involvement of professionals and agencies receiving CDBG funds disappointed many people who had been involved in and excited by the third-year citizen participation process. The workshops became technical review committees, and the general public did not get involved. The workshops did not, unlike the third-year process, educate large numbers of people about the CDBG Program or the budgeting process.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN CAMBRIDGE

Availability of Technical Assistance

Technical assistance in preparing proposals, organizing neighborhood meetings, or developing projects is available to anyone who requests it. The city made a financial commitment to provide staff support to citizens interested in proposing CDBG projects. In the second and third years, Department of Community Development staff were assigned to neighborhoods. In the fourth year, staff members were assigned to a particular subject area (such as open space) and provided assistance to individuals or groups who were interested in getting projects funded in that area. The staff is trusted in the community, in part because of the responsiveness of individual staff members.

Application Packet and Green Book

Since the second year, formal proposals have been required in order to receive CDBG funds for a project. Each year, the application packet for CDBG funds includes a statement from the city manager (including tentative recommendations), the citizen participation plan, a schedule for application preparation, the city's long- and short-term objectives, HUD regulations, and a format for proposals. The citizen participation plan is a concise statement of the procedures in which citizens can become involved to plan and implement the CDBG Program. In the third year, a summary of each proposal submitted was included in a Green Book and distributed to participants. The availability of the book made it possible for participants to get an overview of all the proposals in order to select projects to be funded and to understand the competition in getting a project funded.

Voting Process in Third Year

The highly visible and tactile voting process used in the third year generated enthusiasm among participants. The play money made the actual budgeting process more concrete and gave participants a sense of understanding and power over the distribution of funds. Because they had to spend all their money, they had to choose among projects other than their own. A lobbying process evolved among participants, which represented an introduction to the political process.

Open Membership to the Block Grant Advisory Committee

In the third year, the Block Grant Advisory Committee membership included everyone who attended any meeting of the group. The openness

of the committee gave legitimacy to anyone who wanted to speak at the meetings. The city also avoided the difficult problem of either appointing a group of people who would be acceptable to the various interest groups in the city or sponsoring elections of the advisory committee.

Citizen Involvement in Implementation and Monitoring

Several major CDBG-funded programs are implemented by neighborhood-based nonprofit groups in Cambridge. Most significant of these is the home improvement program, which consists of grants and loans for low- and moderate-income homeowners in target neighborhoods. Three organizations administer this program. The Riverside-Cambridgeport Community Corporation, located in a neighborhood community center, is one of these organizations. Its Board of Directors is elected by the Riverside and Cambridgeport neighborhoods. The board creates an advisory committee for each program it operates; the Home Improvement Advisory Committee consists of nine people who provide guidance to the community corporation staff running the home improvement program. Newsletters are sent to all neighborhood residents four times yearly to inform them of the corporation's programs. Because the corporation is located in the neighborhood and has so much resident involvement, its staff feels that neighborhood residents are more likely to participate in its programs than if the programs were run by city hall.

The Block Grant Advisory Committee has played only a minor role in monitoring projects funded with CDBG monies. All members receive a bi-monthly status report on funded projects. If contingency funds need to be programmed, the proposed allocations are sent to committee members for their comment. Informally, citizens do not hesitate to call city hall to ask questions or comment on the progress of CDBG projects.

Influence

The Block Grant Advisory Committee and the workshops have made compelling recommendations on the content of the CDBG application since the second year. The city manager has not chosen to include all projects recommended by citizens in the final application. However, he has approved most projects voted by citizens and at public hearings has explained his rationale for not including others which ranked high. For example, citizens from a small neighborhood proposed a neighborhood center two years in a row. Though it ranked high both years, the city manager did not include it because Cambridge already had built a number of accessible neighborhood centers. The fourth year, the neighborhood group did not persist in their request.

NEWTON

Eastern Massachusetts, seven miles west of Boston, within SMSA

Location

**Population: 91,000
2% nonwhite
Median income: \$15,381
4.9% unemployed
3% below poverty level**

Community
Socioeconomic
Profile

Mayor-Alderman. Twenty-four-member board of Aldermen elected in nonpartisan elections; sixteen elected at large, eight elected by ward. Mayor elected directly.

Form of
Government

Urban Renewal, Open Space

Previous Federal
CD Grants

**4th year: \$2,178,000
3rd year: \$ 776,000
2nd year: \$ 711,000**

CDBG Funding

**Department of Planning and Development
Mr. Charles J. Thomas, Director
City Hall
Newton, Massachusetts 02159
(617) 552-7135**

CDBG Program
Administered by

MASSACHUSETTS

Newton developed a citizen participation process based on the involvement of target area residents coordinated by a city-wide advisory board. The target area groups helped spark community interest in planning and carrying out CDBG projects. Both target area groups and the city-wide board have become sophisticated in the design of projects.

BACKGROUND OF CITIZEN PARTICIPATION IN NEWTON

Newton is an upper middle-income suburb of Boston. The city is a collection of 14 villages, each with a distinct character. Newton's minority population is small and dispersed and low-income residents are concentrated in ethnic neighborhoods.

Commercial districts exist in six of the villages. In 1962, the Massachusetts Turnpike was built through the middle of Newton, cutting the largest commercial district, Newton Corner, in half. Newton Corner was later slated to be an urban renewal area, but a group of citizens organized to oppose the destruction of homes and stores and successfully blocked the project. The Newton Corner Neighborhood Association, which grew during this struggle, sponsored classes in law and real estate and campaigned to save the area from demolition. The association continues to operate in Newton Corner.

Newton has had a history of resident involvement in civic affairs but only recently have the less affluent also taken part. Thirty commissions and committees, formed by city ordinance, operate in Newton. The mayor also has established advisory committees by executive order. In 1969, a Charter Commission was elected to rewrite the city charter, written in 1873. The Charter Commission had a number of new ideas for the Charter, including the establishment of a Beautification Commission, a Historical Commission, and Neighborhood Area Councils. Neighborhood Area Councils were to be formed by gathering the signatures of at least 20 percent of the neighborhood residents. People attending a mass meeting would ratify the neighborhood's boundaries, establish bylaws, and elect representatives. The Neighborhood Area Council would then be officially recognized by the board of aldermen as the legitimate neighborhood voice in city affairs. Since 1972, when the charter was adopted, only one neighborhood has chosen to form a Neighborhood Area Council, in part because of the year-long process necessary for recognition.

The Planning and Development Board was formed in the early Seventies to provide citizen participation for a new comprehensive plan. Its members, appointed by the mayor, and approved by the aldermen, assisted in writing two elements of the comprehensive plan by meeting several times a week for three months to comment on drafts of the plan. Because it was accustomed to commenting on all aspects of the city plan, it was

natural for the Planning and Development Board to become involved in the CDBG Program.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

During the first year of the CDBG Program, Planning Department Staff developed a formula, based upon census and other data, for the distribution of CDBG funds in the city. Neighborhoods were ranked in order of need on the basis of residents' incomes, percent of housing more than 35 years old, percent of overcrowding, housing value, and citizen opinion surveys. Three neighborhoods, whose boundaries correspond to three villages, were chosen as initial target areas for CDBG funds. The mayor established three Neighborhood Advisory Committees to provide neighborhood citizen advice on the development and implementation of the CDBG Program. An additional neighborhood was added during the second year and, with the tripling of available funds during the fourth year, three other target areas were added.

Each Neighborhood Advisory Committee is organized differently. In Nonantum, three members are appointed by the mayor. Residents of the neighborhood take part in planning and implementing activities through church, social, and ethnic organizations. The mayor appoints two representatives from each of five sub-neighborhoods of Newton Corner to the Neighborhood Advisory Committee there. The Newton Corner Neighborhood Association, formed during the fight against urban renewal, continues to operate in addition to the Advisory Committee, with several committees developing programs for the area in traffic, housing, business, and community development. Newton Highlands, which has a Neighborhood Area Council, does not have an advisory committee appointed by the mayor. A subcommittee of the elected Neighborhood Area Council represents the neighborhood on CDBG issues. Two aldermen are officially members of each advisory committee, but only a few have been active. Because all members of advisory committees are appointed by the mayor, there are no guarantees that the members are representative of the neighborhood's interests. This difficulty does not appear to have surfaced yet, in part because neighborhood groups have nominated appointees.

The Neighborhood Advisory Committees meet regularly to develop a neighborhood community development strategy, to write detailed project plans, and to monitor the progress of ongoing CDBG projects. All the advisory committees designated before the fourth year work with consultants who help write and carry out the plans.

In November and December of each year, the Advisory Committees hold public meetings in their areas to provide information about the CDBG Program to residents of the neighborhood, to identify and respond to concerns regarding

ongoing CDBG activities, and to involve residents in the identification of needs and programs. The Advisory Committees and the city advertise these meetings. For example, Nonantum printed and distributed 4,000 flyers to announce the meetings to residents. The city sends copious information about the CDBG planning process, including a calendar and statistical information about the city's neighborhoods, to 500 people. In mid-December, each advisory committee appears at the Planning and Development Board's public hearing to present its case for funding the list of priority projects which were developed at neighborhood meetings. Advisory committees do not need to submit formal proposals and they are not the only originators of proposals. City-wide projects, functioning in several target areas, constitute a large proportion of the CDBG Program. City-wide projects are proposed by city department staff and advisory commissions at public hearings.

After the first public hearing, the Planning and Development Board receives a three-year community development plan, including a Housing Assistance Plan and an annual community development program from the Planning Department staff. The plans are mailed to the people on the mailing list, plus any others indicating an interest in the CDBG Program. The Planning and Development Board holds another public hearing, after which it reviews and amends the draft application, and sends it to the mayor. The mayor approves or amends it and sends it to the board of aldermen. A joint committee of the finance, administration and planning committees of the board of aldermen considers the application and holds a public hearing on it. During the fourth year, the board responded to requests from the hearing to increase the amount of money available for human services. In other years, the board did not modify the CDBG application.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN NEWTON

Neighborhood Involvement in Developing, Monitoring and Implementing Plans

Neighborhood Advisory Committees present general plans to the Planning and Development Board and develop neighborhood comprehensive plans. Each target area advisory committee hired a consultant to help it identify neighborhood problems, goals, and a plan for achieving those goals. The advisory committees interviewed a number of consultants and selected a firm. The staff advised committees on how to evaluate consultant proposals. Committee members have become knowledgeable about planning and design through regular contact with their consultants. Advisory committees also are involved in monitoring the progress of CDBG-funded projects in their areas. In many cases, the committees work with architects on the design of

beautification programs and revitalization strategies. In one target area, the committee will program the activities of a multiservice center to be built with CDBG money.

In addition to monitoring and implementing programs by citizens at the neighborhood level, the mayor also appointed technical advisory committees to design and monitor city-wide programs funded with CDBG money. The Newton housing rehabilitation fund program has two technical advisory committees: rehabilitation standards and criteria, and eligibility criteria and financial mechanisms. The Human Services Advisory Committee advises the mayor on the content of social service programs to be funded with CDBG money. A fourth committee, the Village Improvement Advisory Committee, is being formed to design and monitor programs for a storefront and sign rehabilitation program. These advisory committees do not have established relationships with the Neighborhood Advisory Committees.

Information

At the beginning of the application process, Newton mails its written citizen participation plan to 500 potential participants. The plan includes a description of the CDBG Program, a summary of funding amounts, requirements for projects, an update on the status of funded projects, and a preliminary survey of community needs. The plan is also available in Italian.

In January, before the second city-wide public hearing, the city sends a copy of the community development plan to individuals on the mailing list. The plan outlines the money spent in the past three years, and summarizes the budget proposed by the Planning and Development Board. The mailing also includes information on the progress of CDBG-funded projects. A week after this mailing, a second city-wide public hearing is held.

All public hearings are publicized in the local newspapers. However, because Newton residents generally read the Boston newspapers, the publicity does not reach a large number of Newton residents. Only about 100 people attend the Planning and Development Board's public hearings.

Annual City Census

Since 1973, Newton has taken an annual census by mail. The census is taken to check voter registration rolls, but the city also uses it as a data collection tool. In addition to asking standard questions about the population such as age, sex, occupation, and citizenship, every year two optional sets of questions are sent to households to gather information about city services. The first section of questions is the same every year. It asks for an assessment of city performance in services such as public safety; park, street and sidewalk maintenance; health and welfare; education; recreation; and planning for the future. The second set of optional questions varies yearly, and is

concerned with one or two categories of services. In 1978, the questions concerned a trash recycling program and citizens' public transportation needs. In 1977, the additional questions were about health care and handicapped persons' needs and services. The census results are summarized in the mailing of the next year's questionnaire. The city also prepares a "Population and Opinion Profile" from each year's census questionnaire, which becomes part of the city's Planning Information System.

The census provides an opportunity for the city to obtain information from the entire population. By using return mail responses, telephone and door-to-door follow-up, the response rate has been 100 percent. Responses to standardized questions allow trend analysis of the population and of city services. It is possible, therefore, to determine if residents perceive city services as unsatisfactory. The Planning Department staff makes this information public and each department head is given a copy. The information has prompted an evaluation and redesign of some service delivery systems. In some cases, it has required a revision of the next fiscal year's budget. In addition, the questionnaire alerts residents to the existence of services they may use.

Human Services Allocations

When it submits the application to HUD, Newton allocates a line item of its CDBG budget to a human services assistance program, although no detailed programs are designated. Following the determination of the amount of money available for human services, the Human Services Advisory Committee, a citizen board appointed by the mayor, sends application forms to human service organizations, which are then required to submit an application for funds. It is generally felt that human services funds support professional organizations which have the expertise to write formal proposals. The Human Services Advisory Committee holds interviews with submitters of proposals for services which provide vital assistance to persons of low- and moderate-income and for which no other federal funds are available. Human services allocations have been restricted to under five percent of the total CDBG grant in recent years. The separation of the process for determination of human services allocations from other CDBG-funded projects has minimized the role that social service agencies play in the competition for funds in the CDBG Program.

SALEM

Northwest Oregon

Location

Population: 68,000
2% nonwhite
Median income: \$9,582
7.2% unemployed
8% below poverty level

Community
Socioeconomic
Profile

Council-Manager. Eight council members elected by district in nonpartisan elections. Mayor elected directly and sits as ninth member.

Form of
Government

Urban Renewal, Neighborhood Development Program, Water and Sewer, Open Space

Previous Federal
CD Grants

4th year: \$2,385,000
3rd year: \$3,183,000
2nd year: \$3,183,000

CDBG Funding

Community Development Department
Mr. Robert Briscoe, Assistant City Manager/Community Development
City Hall
555 Liberty Street, S.E.
Salem, Oregon 97301
(503) 588-6000

CDBG Program
Administered by

OREGON

Highly conflictual land use issues in Salem in the late Sixties and the early Seventies spurred city officials to search for a process by which citizen views could be heard and responded to by private land developers and public officials. Neighborhood associations were organized by the city and served that purpose. These organizations have become the source of citizen views on land use issues, CDBG allocations, and other issues.

BACKGROUND OF CITIZEN PARTICIPATION IN SALEM

Salem participated in several federal community development programs prior to the CDBG Program. Most of the earlier categorical programs focused on the downtown and on several residential neighborhoods directly adjacent to the downtown. The city administered an urban renewal project in the central business district. Through the Neighborhood Development Program it established Project Area Committees in several residential areas. The city's legislative body, the common council, served as the board of directors of the Redevelopment Authority which directed the programs.

In the mid- and late Sixties, with strong leadership from business interests, a committee of about 100 citizens prepared a plan for the downtown area and advised on its subsequent implementation. Many of the same persons who were active in these efforts have continued their involvement in succeeding downtown organizations and committees. One of the current neighborhood associations, called CANDO, is a business oriented group which includes several persons who were instrumental in Salem's Urban Renewal and Neighborhood Development programs.

As a result of a series of official state actions, including two key state Supreme Court decisions, cities in Oregon are required to involve citizens in zoning decisions and in the formulation of comprehensive plans, which have a legally binding status.

In the late Sixties and early Seventies, intense citizen opposition arose to proposed zoning variances to allow the construction of several private development projects and a low-income housing project. For many citizens, these events highlighted the absence of constructive mechanisms for citizen involvement in zoning decisions and long term planning. Citizens often found themselves in a reactive stance to physical development and land use proposals.

One council member, subsequently elected mayor, pressed for the adoption of neighborhood planning which would allow affected persons to be involved early in negotiations on any land use proposal. The idea encountered much opposition from the planning commission and the common council, the two groups in the city entrusted with land use and overall planning authority.

As a result of substantial public discontent and

much lobbying, both the planning commission and the common council adopted the concept, but did not authorize funds for its implementation.

Neighborhood Planning Program

In 1971, after the council's leading advocate of neighborhood planning was elected mayor, the city adopted the Neighborhood Planning Program. The program involved organizing neighborhood associations and developing a link between these associations and the city government. The major role of neighborhood associations was to obtain citizen advice on land use and physical planning. The selection of two neighborhoods, one in the mayor's former district and the other in the district of the program's major opponent, tended to muffle remaining opposition to the idea. After initially developing organizations in these two neighborhoods, the city gradually expanded to other neighborhoods. Within a year, ten groups were formed. Eventually 14 associations became active in Salem, covering most of the city.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

The CDBG allocation process is part of a larger needs assessment process. Neighborhood associations participate in a complex process of defining their neighborhood needs and recommending projects to city departments and to the common council.

Needs Assessment

The city initiates a needs assessment process by examining existing data on the city and city services and by requesting all neighborhood associations to list neighborhood needs on a standardized form. The form specifies that only general needs and not specific proposals be identified. This process is used to provide input for the entire city budget, not just the CDBG application.

In some cases, neighborhoods identify needs at the block level, at general neighborhood meetings, or by the executive board of neighborhood associations. In other cases, neighborhood needs are identified through questionnaires in the neighborhood newsletter. The Community Development Department, which administers the CDBG Program, receives the needs forms and routes them to the appropriate city department. The city departments, in turn, refer them to the appropriate citizen advisory board or commission for action.

Fourteen citizen advisory boards are appointed by the mayor and confirmed by the council. These boards provide citizen advice on city department decisions in a variety of areas including social services, downtown development, parks and recreations, housing and libraries. Each board holds hearings in an attempt to bring a city-wide

perspective to neighborhood needs. The hearing dates are published, and neighborhood representatives may speak before the boards. From these hearings, the advisory boards send recommended neighborhood needs to the city manager, who sets priorities. The list is then forwarded to the budget committee, comprised of nine citizens and the nine members of the common council, including the mayor. The council holds a hearing in November or December on identified needs and finally adopts a document known as "community needs."

Project Requests

After the adoption of the community needs document, neighborhood associations meet to propose specific projects addressing both their own and the adopted community-wide needs. These proposals are funneled through the Community Development Department to other appropriate city departments which review neighborhood and community-wide needs. Based on this review, the city manager prepares budget recommendations for the city council. The final funding status of neighborhood requests is determined by the city council. In this way, the neighborhood proposals become part of the overall city budget process. Neighborhoods not qualifying as CDBG target areas may receive services from other funds.

The city council holds a public hearing on specific projects in the CDBG application in January or February. The projects in the application are based on needs expressed in October for projects to begin the following July. Neighborhood associations receive notice of council action.

Neighborhood Associations

Two neighborhood associations were operating prior to the Neighborhood Planning Program. One originated in connection with a local community school and grew in numbers when it opposed the construction of a low-income housing project in its area. The other neighborhood association was formed to press for the removal of a race car track in the neighborhood.

Neighborhood associations in the two Neighborhood Development Program areas (Grant and Highland) grew from Project Area Committees. CANDU, one of the most influential neighborhood associations, includes citizens active in urban renewal projects who are interested in developing and maintaining the downtown area.

The city established a process whereby neighborhood associations become recognized as the official voice of their areas. After defining neighborhood boundaries, neighborhood associations petition the planning commission for recognition. The board of directors of the association must be geographically representative, include representatives of various

interest groups, and hold well publicized elections. The association also must be open to all residents, business people, and property owners in the area. The city enforces these rules by requiring each association to file an annual compliance report.

Neighborhood boards meet monthly. Associations hold a general neighborhood meeting at least once a year to elect a ten-to-15 member board. Attendance at general meetings depends on the issue discussed, but averages about 25 people. In most neighborhoods, approximately ten people attend board meetings.

One neighborhood near the downtown area, the Southeast Salem Neighborhood Association, has chronic housing, employment, and social problems. Residents and city officials targeted it for concentrated and coordinated social service activities in an effort to make it self-sustaining. City officials attempt to provide residents with sufficient information to know whom to contact for city services information. One city staff member was assigned to work full-time with neighborhood residents. The neighborhood recently formulated a detailed planning document as part of the needs assessment process, however, the plan was more detailed than city officials requested. As a comprehensive document it deviated from the form in which neighborhoods are asked to submit their needs to the city, and was returned with a request to follow routine procedure. This example illustrates the difference in style and in interest between city departments and neighborhood associations. Each city department has its own citizen participation process and consults with the citizen advisory board(s) in its program area. Departments generally prefer to relate to citizens in an advisory board role, rather than in the more comprehensive neighborhood associations.

The Planning Commission

The planning commission, a seven-member citizen body appointed by the council, is the chief advisory body to the common council on all zoning, land use, and planning issues. Neighborhood associations complain to the planning commission about physical planning and land use issues. The planning commission often sends technical planning information to neighborhoods for comment. Both the planning commission and the city council ask for the views of the affected neighborhood associations before making final decisions. The neighborhood associations are influential with the planning commission on matters concerning their neighborhood.

Neighborhood associations played a major role in bringing Salem into compliance with the 1975 State Supreme Court decision requiring zoning to comply with the city's comprehensive plan. Members of neighborhood boards met with the planning commission and evaluated the current zoning on land within its boundaries which did not conform to the comprehensive plan. Together, they brought the zoning status of 2,400 parcels of land into conformance with the comprehensive plan.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN SALEM

City Budget Process

The needs assessment process is an established formal mechanism directly tied to the city's budget. The neighborhoods annually inform the city government on important area problems and recommend solutions. Through the process, needs are conveyed directly to department heads and particular citizen boards serving in an advisory role to departments. The process allows for some neighborhood influence on specific city policies. In practice, however, city departments play a major role in determining needs from their city-wide perspective. The eight-to-nine month length of the process requires time, energy and perseverance from neighborhood leaders and residents. Because neighborhood interests could be affected adversely, the constant vigilance and participation of neighborhood representatives is required. This has diminished the interest and enthusiasm of some neighborhood leaders.

City Support for Neighborhood Associations

Several city staff members, called Community Service Counselors, work with neighborhoods to help to organize associations. The counselors usually gathered a steering committee of neighborhood residents which adopted bylaws and called a general meeting.

Community Service Counselors currently work closely with each neighborhood, advising it on directions and strategies, and providing necessary information from the city. Council members are a critical link between neighborhoods and city government. They fluctuate between the role of an advocate for the neighborhood and a liaison to city hall. Clerical support also is provided to recognized neighborhood associations at their request. The city provides support to mail newsletters as well as general meeting notices to all residents, businessmen, and property owners as required by city ordinance. The Community Development Department secretarial staff usually sends neighborhood board members notices by mail reminding them of previously scheduled meetings.

Influence of Neighborhood Associations on Land Use

Neighborhood associations exist in almost every part of the city and are influential on zoning and land use policy in Salem. When planning a project, some developers come first to the neighborhood association to negotiate any objections the association may have. Both the common council and the planning commission solicit neighborhood views on zoning changes and proposed construction projects before making a final decision.

Neighborhood Chairpersons Meeting

While there is no city-wide advisory body, the chairpersons of neighborhood associations meet monthly with city staff. These sessions allow neighborhoods to receive information and city staff to share information and perceptions. The chairpersons often discover they share common problems, and neighborhood associations occasionally take common actions to solve them.

Neighborhood Newsletters

Salem officials and citizens place strong emphasis on neighborhood newsletters. Each neighborhood, in cooperation with the city, produces attractive professional newsletters with color graphics. Six to eight issues a year are sent out by the city to each household in all 14 neighborhoods. Newsletters contain information on a variety of subjects, including the availability of city programs and services, the results of neighborhood surveys, and general neighborhood news and events. According to a policy set by city council, each neighborhood has an editor who accumulates articles and information from neighborhood residents. Some newsletters are published in cooperation with community schools. One Community Development Department staff member is assigned to help each neighborhood editor arrange the final copy. Although much of the newsletter content is submitted by the neighborhood, up to 25 percent of the space in each newsletter can be used for articles by city staff. The city also prohibits newsletters from containing partisan political statements. The city pays for the newsletters, approximately half from CDBG funds and half from local revenues.

**Citizen Participation
in Communities of Under 50,000**

FOND DU LAC
WISCONSIN

NORTH WILKESBORO
NORTH CAROLINA

WASHINGTON
NORTH CAROLINA

WILMINGTON
NORTH CAROLINA

WINOOSKI
VERMONT

FOND DU LAC

Southeastern Wisconsin

Location

Population: 36,000
less than 1% nonwhite
Median income: \$10,285
4.6% unemployed
5% below poverty level

Community
Socioeconomic
Profile

**Council-Manager. Seven-member council elected at large in
nonpartisan elections. President and vice-president elected by
council from among its members.**

Form of
Government

Neighborhood Development Program

Previous Federal
CD Grants

4th year: \$569,000
3rd year: \$853,000
2nd year: \$853,000

CDBG Funding

Department of Community Development
Mr. Neal Herst, Director of Renewal
City Hall
76 East 2nd Street
Post Office Box 150
Fond du Lac, Wisconsin 54935
(414) 922-2600

CDBG Program
Administered by

WISCONSIN

Fond du Lac had little experience with citizen participation prior to CDBG. Following an unsatisfactory experience with traditional public meetings, the city used the nominal group process to obtain citizens' opinions on the CDBG Program. Use of the nominal group process has resulted in a large increase in the number of citizens attending public meetings and expressing their opinions.

BACKGROUND OF CITIZEN PARTICIPATION IN FOND DU LAC

Fond du Lac sits at the southern tip of Lake Winnebago in southeastern Wisconsin. The city's housing, including the largest concentration of public housing in the area, is generally in good condition. There are almost no sections of blight. The few minority or poor residents are dispersed throughout the city. The city has no easily identifiable neighborhoods and no strong citizens' groups organized around a geographic area. Other than the usual citizen boards and commissions, the only experience Fond du Lac had with formal citizen participation requirements in federal grant programs prior to CDBG was the Neighborhood Development Program. This program was primarily aimed at the city's central business district and its immediate vicinity. The Project Advisory Committee, created as the citizen participation arm of the Neighborhood Development Program, was composed mainly of businessmen and was not oriented towards the involvement of residents.

Because Fond du Lac had so little citizen participation experience prior to CDBG, it was necessary to design the citizen participation process from scratch. While Fond du Lac's lack of experience presented certain difficulties, it also allowed city officials freedom to adopt new and innovative methods.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

Prior to the beginning of the planning process for first-year CDBG, Fond du Lac's city council created a Community Development Committee to gather citizen input for the CDBG Program. This committee was composed of the city manager, director of community development, director of planning, director of renewal, director of public works, plan commissioner, a housing authority representative, a member of the redevelopment authority and a member of the city council. The city council's directive to the committee was to gather citizen comments, but the council did not specify how this was to be done.

Soon after its creation, the Community Development Committee held its first public meeting. The meeting, which was designed to get citizen input into the CDBG planning process, was run in the traditional manner: individual citizens would stand up and make statements which would then be commented upon by citizens in the group.

Although the meeting was well publicized by radio and newspaper announcements, only two people attended. One was the director of Advocap, the local community action agency. She spoke against the way the city planned to handle citizen participation in CDBG, arguing that the Community Development Committee would not involve enough citizens, particularly the poor and minorities.

The Community Development Committee was sympathetic to her complaints. The attendance of only two people at its first public meeting was evidence of the need for a new citizen participation process. The committee wanted to create a process that would encourage all segments of the city to work together without accentuating differences. The committee, therefore, asked the director of Advocap to join the city manager, the renewal director, the community development director, and the planning director to form a Citizens Advisory Task Force that would design and administer a new citizen-participation process to gather information to use as a guideline for writing the CDBG application.

The task force decided to hold six public meetings using a nominal group process. This process, developed by a University of Wisconsin professor, was designed to have people working in small groups to generate information on a specific issue. It begins with each person silently writing a list of problems or needs. These are read aloud in round-robin fashion and listed verbatim on large sheets of paper. Each group discusses and clarifies statements. Then a vote is taken to determine a priority ranking.

Members of the task force and the Community Development Committee were impressed with the nominal group process. It solicited participation from all members of a group and prevented a few vocal members from dominating the discussion.

First-Year Process

A great deal of effort was made to encourage participation in the process. Prior to the first meeting, all six of the meetings to be held in the first year were advertised on radio and in the local newspaper. A feature story in the newspaper also encouraged attendance. In addition, Advocap supplied a list of almost 300 people to be invited to the meetings by letter. The city added to the list and mailed each person an invitation to participate in the process. This list was designed to include a representative sample of the city's population although it may have included a disproportionate share of poor people who were most likely to come in contact with Advocap. A few days before the first meeting, Advocap staff made follow-up phone calls to those receiving invitations. To further stimulate attendance, meetings were held in an elementary school where many citizens felt more at ease than at city hall.

The Citizens Advisory Task Force approached the citizen participation process as a planning process. Each meeting moved the group closer to the development of a complete plan. Citizens

identified problems, proposed solutions, and set priorities. The citizens provided the building blocks for a long-term community development plan, but were not specifically concerned with spending CDBG funds.

Meeting One

One hundred and two people attended the first task force meeting, run by the director of Advocap. The first few minutes of the meeting were devoted to a short explanation of the CDBG Program and the role of the Citizens Advisory Task Force in that program.

Participants broke into subgroups of five to ten persons. Each subgroup sat at a table and an Advocap or city staff member acted as a recorder. The task force attempted to assure that each table had people representing a variety of income, age, and occupational classes.

The nominal group process was briefly explained to the participants, after which they were asked to independently write a response to the question: "In your opinion, what are the community problems needing attention over the next few years?" After this phase was completed, each person read the items on his or her list aloud in a round-robin fashion. The recorder wrote the problems on a large sheet of paper for the subgroup to see. Once a list was compiled, the subgroups met to discuss and clarify problems.

Participants then were given seven voting cards and asked to rank the seven most important problems in relative order of importance. Seven points were awarded to the most important problem selected, six points to the second most important problem, and so on. The recorders tabulated the vote and reported the top three problem statements to the entire group.

Each subgroup identified from 24 to 47 problems, and a total of 428 problems were identified. Following the first meeting, the staff organized the problems in 13 categories, and eliminated or consolidated problems which were mentioned twice, but no attempt was made to sort out those problems not eligible for CDBG funding. After the consolidation, 78 problems remained.

Subsequent Meetings

The remaining task force meetings were held at one-to-three-week intervals. Each meeting was publicized by newspaper and radio announcements and by mailing post cards to the same citizens who were invited to the first meeting. Although attendance at the meetings progressively declined, at least 40 people were present at each meeting.

Citizens who attended meetings two, three and four further refined the problem statements developed at meeting one, and proposed solutions for each problem. Almost all of the work was done in small groups using the nominal group process. An effort was made to get everyone at the meetings to participate and not to allow any one person or

group to dominate.

At meeting five, city staff made presentations concerning the top two problem areas that had been identified. The audience then broke into subgroups of five to ten persons and listed the major strengths of the proposed solutions and indicated areas that needed strengthening.

At meeting six, participants developed a list of groups and clubs they felt should receive notification of the major problem areas. Citizens filled out evaluation forms on the citizen participation process. The results of the evaluation indicated that the process had been enjoyed thoroughly by citizens who might never have participated in traditional public meetings.

Development of the Application

After each task force meeting, the Community Development Committee reviewed the citizens' work, and directed its staff to investigate citizen comments where appropriate. At the conclusion of the six meetings, the Community Development Committee was familiar with citizen priorities.

The committee developed a CDBG application using citizen priorities and proposed solutions. Those projects which citizens requested, but which were not fundable under CDBG, were referred to the appropriate agency or department. All but one of the projects contained in the first year's CDBG application were identified by citizens.

There is no formal process to assure that the Community Development Committee accurately translates citizen priorities into the CDBG application; however, citizen acceptance and approval of the committee's work indicate that it reflects citizen priorities.

After the Community Development Committee developed the application, a public hearing was held before the city council; 50 or 60 people attended this hearing, but there was no significant opposition to the application. The council easily approved it.

Changes in the Process in Years Two, Three and Four

After the first-year CDBG process was completed, Advocap's assistance in running the process was no longer necessary. The experience and the reputation that city staff acquired during the first year allowed them to run the process themselves during later years. Staff members have acquired so much expertise in and have been so satisfied with the use of the nominal group process, that they have used it in other city activities. Several private groups also have used the process.

The number of public meetings held each year was reduced. In the fourth year, the city felt that only two meetings were necessary. The reduction of meetings was made possible by two factors. First, many problems which had not yet been addressed were identified in the first year. Therefore, by the fourth year, the city was aware of

many projects which needed to be completed even before the meetings were held. This meant that the citizens' task was one of setting priorities more than identifying problems, and, consequently, fewer citizen meetings were necessary. The first year's work was used as a base upon which citizens were asked to expand. Secondly, because Fond du Lac's entitlement of CDBG funds has been considerably reduced, many projects which the city needs are now too expensive even to be discussed.

Attendance at public meetings has steadily declined since the first year. This can probably be related to three factors: (1) after Fond du Lac completed top-priority projects in the first years of CDBG, many citizens felt they had achieved what they set out to do and were not interested in continued participation; (2) as the amount of money Fond du Lac had available to spend on CDBG declined, citizens felt their "pet" projects had less chance of being funded and were therefore less willing to participate in the process; (3) the novelty of the "nominal group process" wore off after the first two years and many people who may have been willing to participate in the first years for the experience of being part of the process were no longer willing to come.

The people who continue to attend the public meetings are often those who either have genuine interest in all aspects of community development or those who are at the meetings simply to push a particular project. Some citizens are concerned

that if a particular group decided to come to the public meetings en masse, it could push through almost any project it wished. However, even if a group were able to get its priority adopted at the public meetings, the Community Development Committee or the city council would have the power to change the priorities.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN FOND DU LAC

Use of the Nominal Group Process

The success of Fond du Lac's process has hinged almost exclusively on use of the nominal group process to get advice from all segments of the city. This process is designed to encourage the participation of everyone who attends a meeting.

The nominal group process stimulated interest among many citizens. Shy or unassertive citizens who might not normally have participated in public meetings enthusiastically took part in Fond du Lac's meetings as a result of the nominal group process.

Fond du Lac's use of the nominal group process is explained in detail in a booklet entitled *Citizen Participation Activities—1975 Community Development Program*, published in April, 1975 by Fond du Lac's Department of Community Development.

NORTH WILKESBORO

Northwestern North Carolina

Location

Population: 3,000
8% nonwhite
Median income: \$7,250
16% below poverty level

Community
Socioeconomic
Profile

*Data on percent unemployed are not available for North Wilkesboro.

Commission-Manager. Five commissioners elected to board at large in nonpartisan elections. Mayor elected directly.

Form of
Government

Urban Renewal, Open Space, Neighborhood Facilities

Previous Federal
CD Grants

4th year: \$ 696,000
3rd year: \$1,069,000
2nd year: \$1,069,000

CDBG Funding

Town of North Wilkesboro
Mr. Jim Bentley, Town Manager
Post Office Box 218
North Wilkesboro, North Carolina 28659
(919) 667-7129

CDBG Program
Administered by

NORTH CAROLINA

This small town has developed a citizen participation process that encourages input from all segments of the population. A city-wide citizen advisory board comments on each stage in the development of the CDBG application. This formal structure does not, however, interfere with the personal interactions that are vitally important in small town politics, but at the same time gives minorities and poor people a chance to be heard. The process does not make excessive demands on citizens' time, nor does it make unrealistic assumptions about citizens' technical expertise.

BACKGROUND OF CITIZEN PARTICIPATION IN NORTH WILKESBORO

North Wilkesboro is the geographic and commercial center of agricultural Wilkes County. Because it is the largest town in a 30- or 40-mile radius, North Wilkesboro's central business district serves a population of over 80,000. In addition to its relatively large central business district, North Wilkesboro has several major industrial plants and corporate headquarters including the two largest mirror manufacturers in the world, the home offices of a retail building materials-appliance chain, and a large statewide bank.

Although North Wilkesboro's population is small, its occupational, income, and social classes—including corporate executives, middle class working families, and a substantial number of poor people—reflect the make-up of a big city. This mixture has made citizen participation in North Wilkesboro especially important, because it has enabled citizens to come together and identify common problems, goals, and strategies for improving the town.

As in many towns of its size, the most important form of citizen participation in North Wilkesboro has always been personal contact between elected officials and citizens. However, North Wilkesboro has also had formalized citizen participation structures for many years.

North Wilkesboro first established a Citizens' Advisory Council in 1965 to work with the town Board of Commissioners on community development issues. The advisory council provided input into North Wilkesboro's Workable Program, which was developed under federal program guidelines to assure that North Wilkesboro would use federal community development funds effectively. Because the Workable Program was primarily a long-term planning program, the advisory council was not involved in programing funds.

North Wilkesboro also had a formal advisory committee of citizens for its Urban Renewal Program. The program was confined to the downtown area, however, and most members of the advisory committee were businessmen.

Officials phased out the advisory boards for both North Wilkesboro's Workable Program and Urban Renewal Program. Several other advisory boards,

such as the Recreation and Planning Commission, still include citizens in community development planning.

Two citizen groups not formally sanctioned by the town have been active in community development issues. The Woodlawn Community Action Group, which persuaded town officials to apply for a Neighborhood Facilities Grant to convert an abandoned school into a community center, has been involved in planning for the use of that building. As a result, vandalism in the area has greatly declined, and the neighborhood has developed a sense of pride and community. The Downtown North Wilkesboro Association, representing downtown retail stores, has actively worked with the town to plan the expansion of downtown parking.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

In 1973, North Wilkesboro officials realized that the town would receive money under the "hold harmless" provision of CDBG, as a result of its Urban Renewal Program. Because CDBG funds were intended for many projects outside the downtown area, town officials realized it would be necessary to put together an advisory council of citizens with broader representation than the Urban Renewal Program had required. The town manager and staff from a planning firm which consults regularly for the town, developed a citizen participation plan for the upcoming CDBG Program. In September, 1973, more than a year before North Wilkesboro received its first CDBG money, the Board of Commissioners passed a resolution authorizing the creation of a citizen advisory council to work on the CDBG Program. The planning consultants prepared a public information document based on previous studies of North Wilkesboro's needs and resources for the advisory council's use.

Members of the advisory council are nominated by the mayor or any member of the Board of Commissioners and confirmed by the board. Although the board required a minimum of 20 members on the advisory council, there is no fixed number of people on it. In the past, it has generally had between 20 and 30 members. The Board of Commissioners required that the advisory council include representatives from all areas of the town and include minorities, elderly, both sexes and people of every income bracket, but there are no formal selection procedures to assure this. Nevertheless, the advisory council is largely representative of the town and currently includes target area representatives, business people, and members of the Woodlawn Community Action Group.

The advisory council established an informal mode of operation, selected a chairman, and ran meetings in a casual manner. No formal rules of procedure were established; meetings were scheduled as needed, rather than on a regular

basis. The full advisory council met seven times in the first six months of 1974 to consider a variety of community development issues and to hear town officials and others. Although all meetings were open to the public, few citizens attended them. Soon after it was established, the advisory council held a "brainstorming" session in which 80 to 100 projects needed in the town were identified. These projects were then divided into categories, and temporary committees to study each area were formed. After several months of study, each committee reported its recommendations to the full advisory council. Because of the town's small size, all those on the advisory council were familiar with all the recommended projects and were able to agree on a general three-year community development strategy with the help of the town manager and the planning consultants. As part of the strategy, one area was designated a first priority target area and several other areas were suggested as secondary targets. These areas were to be treated after the first area was completed. All the advisory council's decision-making was informal. Areas with the greatest problems were clear to everyone, and decisions were arrived at by discussing the issues until a consensus was achieved.

After a list of proposed projects was settled on, the town staff developed budget estimates for each project. The advisory council's recommendations were then sent to the town Board of Commissioners which scheduled a public hearing on the first-year application.

Residents of the target area attended the hearing to protest the program. The advisory council program recommended for their area included housing clearance, housing rehabilitation, new streets, sidewalks and sewers. Residents were frightened that this federal program would take their homes and disrupt their neighborhood.

After the program was fully explained, the residents' fears were reduced somewhat, but they were still hesitant to support the program. Nevertheless, the Board of Commissioners approved the application just as the advisory council had recommended.

The advisory council continued to meet as needed once the application was approved. The planning consultant and director of the Redevelopment Commission attended all meetings and kept the advisory council fully informed of the status of the projects. When the town received bids from contractors, the advisory council was informed.

After the first year of CDBG, the general structure of the citizen participation process remained the same, although minor changes in the process were made as problems arose. Citizen interest and involvement in the CDBG Program declined; many perceived the citizen participation process as a one-time planning effort rather than an ongoing activity. To increase citizen involvement in the CDBG Program, the advisory council devised an addendum to the citizen participation plan which was approved by the town

Board of Commissioners in May, 1977.

Designed to give citizens a more active role in monitoring and evaluating CDBG projects, the addendum required that the planning consultants prepare regular reports detailing the status of all projects for the advisory council and required the advisory council to perform three functions throughout the year. In the middle of the program year, the advisory council monitors and evaluates the projects currently under way, and makes a recommendation to the Board of Commissioners on what, if any, reprogramming of CDBG funds is necessary. Near the end of each program year, the advisory council reviews the current year's projects and information from the Grantee Performance Report, and formulates changes in the three-year community development plan. At the end of each program year, the advisory council, working together with the town staff and the planning consultant, develops projects for the upcoming year. These three tasks keep the advisory council active and involved in the CDBG Program which, in turn, has encouraged attendance and continuity of membership.

When work in the first target area neared completion, North Wilkesboro prepared to begin work in a second target area. Few citizens who lived in this area were on the advisory council, so in January, 1978, the advisory council recommended a new citizen participation plan. This plan requires that the mayor and town Board of Commissioners discharge all members of the advisory council who have not indicated an interest in extended active citizen participation and replace them with members from target areas.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN NORTH WILKESBORO

Influence of the Citizens' Advisory Council

The advisory council has determined the content of the CDBG application in each program year and has never been overruled by the town Board of Commissioners. Because North Wilkesboro is so small, and because many citizens are wary of government programs and have not aggressively tried to be included in them, the advisory council has been able to set priorities for the CDBG Program without controversy. The advisory council has provided support for programs which might otherwise have encountered stiff resistance.

Informality of the Citizens' Advisory Council

North Wilkesboro's advisory council has been run on an informal basis with no set rules or procedures. The number of members and their terms are unspecified. The group has no long-term schedule of meetings, meeting only as needed.

Advisory council members communicate with the public in an informal yet effective manner. In addition to their day-to-day contact with friends

and neighbors, several members are in contact with large segments of the town's population through their other activities. One member who owns a store talks with his customers about issues facing the advisory council. Another member got a town official to speak about community development issues before her adult Sunday school class. The chairman of the advisory council manages the local radio station, and hence has a great opportunity not only to hear from citizens but to distribute information to them.

The informal atmosphere of the advisory council is beneficial in several ways. The casual and friendly mood of the group encourages all members to speak out. Because the group meets only as needed, members know that something must be accomplished at each meeting. This encourages attendance. The friendly and

neighborly attitude of advisory council members encourages constructive comments from citizens.

Most important, however, the informality facilitates flexibility. For instance, when the group became interested in finding out what measures the town would need to take to become eligible for the federal flood insurance program, it simply began researching the issue without feeling it had to justify this research in terms of its relationship with CDBG.

It is possible that this flexibility could be abused. Meetings could be called without giving everyone adequate notice or decisions could be made without informing the whole advisory council. However, this has not occurred and probably will not because it would disrupt the continuing consensus which is important for the operation of the advisory council.

WASHINGTON

Eastern North Carolina

Location

Population: 9,000
42% nonwhite
Median income: \$6,563
25% below poverty level

Community
Socioeconomic
Profile:

* Data on percent unemployed are not available for Washington.

Council-Manager. Five-member council elected at large in nonpartisan elections. Mayor elected from within council.

Form of
Government

Urban Renewal, Open Space

Previous Federal
CD Grants

4th year: \$149,000
3rd year: \$241,000
and \$500,000 non-metro
discretionary grant
2nd year: \$241,000

CDBG Funding

City of Washington
Mr. Jack Webb, City Manager
Post Office Box 850
Washington, North Carolina 27889
(919) 946-1033

CDBG Program
Administered by

NORTH CAROLINA

Washington is a small city in which the city manager and the city council are accessible to individual citizens. Citizens who wish to comment on city actions can do so easily on an informal basis. However, city officials felt a process which involved citizens in policy formulation as well as evaluation was necessary. Washington employed an outside consultant to design a citizen participation process which included citizens in the development of the city budget. This process uses a system of management by objectives to involve citizens at the earliest stages of policy development.

BACKGROUND OF CITIZEN PARTICIPATION IN WASHINGTON

Washington has had experience with citizen participation since the early Sixties when the city council first considered involvement in the Urban Renewal Program. A citizens' advisory council was formed to decide if urban renewal and public housing were needed. At the committee's suggestion, the city council created a Housing Authority and a Redevelopment Commission to apply for and receive federal money. A board of five citizens was appointed by the city council to the Housing Authority and another five member board was appointed to the Redevelopment Commission. The two boards later merged to form the seven-member Housing Authority and Redevelopment Board. Four public housing projects containing 432 units have been built since the formation of the Housing Authority and the Redevelopment Commission.

In 1972, the city council created a 23-member Human Relations Council to help the city avoid racial conflict by providing communication between races. Fifteen regular members are appointed by the city council and four high school students are appointed by their student government and confirmed by the high school principal and city council. Four members are nonvoting members: a city council member, the city manager, the executive director of the Redevelopment and Housing Authority and the superintendent of schools. The Human Relations Commission includes white and black members with a variety of occupations and incomes.

As race relations in Washington improved, the Human Relations Commission shifted from improving race relations to stimulating citizen participation. The commission has become progressively more involved in a variety of issues including the CDBG citizen participation process.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

In 1974, Washington was selected as one of five pilot cities for the North Carolina Community Development Demonstration Program. Through

this program, Washington received a state grant to begin designing a system for developing its first year CDBG application. The Human Relations Commission helped in the planning process. Along with the city staff, the commission gathered demographic and housing data to define a CDBG target area. The commission also held hearings to receive citizen comments on city needs and the CDBG application design.

During the first two years of the CDBG, Washington attempted to stimulate citizen involvement with a series of ward meetings and panel workshops and a door-to-door survey which got citizens, staff and elected officials discussing city problems. Although each activity was somewhat successful, the city staff saw the need for an ongoing body of citizens to participate in policy formulation.

In late 1976, Washington devised a new budgeting system based on short-range objectives designed to achieve long-range goals. The system of management by objectives was prompted by the city manager after his experience with the development of the budget for the 1976-1977 fiscal year. City council hearings on the budget prepared by the city manager were time consuming and frustrating. The city manager wanted to involve citizens and the city council in the development of a budget responsive to city needs and amenable to city council passage. The process of management by objectives was designed to involve an ongoing body of citizens in the formulation of the CDBG application in conjunction with the city budget.

Public meetings, the City Manager's Citizen Task Force on Goals and Objectives, the city council and the city manager's staff provide input on goals and objectives for the management by objectives system.

Public meetings

The Human Relations Council sponsors a series of ward meetings designed to solicit citizen input for the CDBG application. During the fourth year application process, four meetings were held, two of which were in the target area. Attendance ranged from about 50 in the target area to 20 at the downtown meetings.

Meetings are advertised in the local newspaper and on a morning radio talk show. To increase turnout in predominantly black neighborhoods, black community leaders are asked to provide a list of people to be informed about the meetings. Citizen projects are ranked at the meetings after discussing each project until a consensus is reached. Generally, citizens come to the meetings with only individual observations and concerns. As a result, input derived from the meetings does not provide the broad concern needed to arrive at objectives for the entire city.

In order that individual citizen goals may be examined in relation to city-wide needs, the resident priority lists are given to the city council, the city manager's staff, and the City Manager's Citizen Task Force on Goals and Objectives.

City Manager's Citizen Task Force on Goals and Objectives

The city manager's task force is made up of eight to 12 citizens appointed by the city manager. Citizens are selected on the basis of their familiarity and interest in city affairs. In the past the task force has been representative of the city's residents. Since the task force is appointed by the city manager, however, there is no guarantee that all population segments will be represented. If an unrepresentative task force were appointed, citizens not included could attend the meetings anyway. However, since there are no organized groups which represent the target area it might be difficult for these citizens to contest the task force's recommendations.

The task force meets six to ten times in January and February to develop goals and objectives for the upcoming budget year, which begins in July. At the initial meeting, the community development director provides information on the management by objectives process, the CDBG Program, and the projects suggested by citizens at ward meetings. A consultant performed the duties of the community development director the first year this process was used.

At the first meeting citizens receive the CDBG regulations, as well as other informational materials. At subsequent meetings, the task force functions as an informal work group. Approximately two meetings are devoted to the listing and refining of individual concerns regarding the city's goals and objectives, resulting in a composite list of the objectives of all task force members, taking into consideration projects suggested by people at ward meetings. The objectives are then grouped into topics and a goal statement is formulated for each topic. The group further delineates these objectives by defining "action items" for each objective. The task force ranks the goals and objectives in order of relative priority. The group did not specify action items during the first year of the process because citizens felt they lacked the necessary expertise and experience. In the second year of the new budgeting process, officials expected that action items would detail projects to help achieve each objective.

The City Council and the City Manager's Staff

These two groups participate simultaneously in a process similar to the city manager's task force. Each group is given an orientation which includes comments received from people at ward meetings. The community development director coordinates all groups' work so that the structure (but not necessarily the content) of the groups' recommendations will be standardized.

The Merging Process

Once all the groups complete their statements of priorities, goals, objectives and action items, the community development director and city

manager combine the groups' work into one document. Where the same goal is assigned a different priority by different groups, the city manager resolves the differences. He attempts to keep each group's relative priorities intact.

During the first year the management by objectives process was used, the merging process did not present a major problem because group priorities were similar. All of the groups' recommendations were put into one document by revising the wording of objectives, goals, and priorities and adding a fourth priority which consolidated the concerns of all groups.

The process of merging the recommendations into one document could present a problem. The groups could have conflicting priorities to be resolved by the city manager. It is also possible that the comprehensive statement of goals and objectives might not reflect citizen views for this reason. While it would still be possible for citizens to protest at one of the two public hearings on the proposed CDBG application, it is unlikely that the city council would make major changes so late in the process.

Development of Final Budget and CDBG Application

The consolidated statement of priorities, goals, objectives, and action items is circulated to city department heads, who estimate costs for all items. Department heads then attend a city council working session. The council assigns each action item a funding priority of high, medium, low, or chooses to defer funding entirely. The city manager then reviews the document and estimates sources of funding (city, county, state, or federal) for each action item. All this information is then compiled and a budget is prepared by the city manager.

The action items with the highest funding priority that are eligible for CDBG funding are combined into a CDBG application. The boards of the Housing Authority and Redevelopment Commission, the Human Relations Council and an advisory planning board made up of citizens all carefully advise during each step of the CDBG application. The city manager holds a public administrative hearing and the city council holds a final public hearing before the application is completed.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN WASHINGTON

Integration with Budget Process

Washington's management by objectives process involves citizens in the development of the city budget. Projects eligible for CDBG funds are not isolated from the rest of the budget. Therefore, projects that get funded through the CDBG support and strengthen budget goals and

objectives. Because the process involves the entire budget rather than just CDBG funds, the CDBG target area is given little emphasis in the process. However, during the third and fourth years of CDBG when the management by objectives process was used, virtually all CDBG money went to the target area.

Staff Cooperation with Citizens

The city staff cooperates with both the Human Relations Commission and the city manager's task force throughout the budgeting process. The community development director is present at all task force meetings to provide information. The city staff also responds to information requests from the Human Relations Commission and individual citizens. This constant flow of

information improves the quality of citizen recommendations.

Special Public Information Device to Encourage Attendance

The city makes an extra effort to encourage black target area residents to attend public meetings. The city manager obtains a list of names from black community leaders. The people on this list are called by city staff several days ahead of time and asked to attend. These telephone calls set up a "word-of-mouth" chain which encourages attendance within the black community. As a result of the city's effort many black citizens do attend the meetings and city staff is informed about the black community's needs.

WILMINGTON

Southeastern North Carolina

Location

Population: 48,000*
35% nonwhite
Median income: \$6,986
9.1% unemployed
20% below poverty level

Community
Socioeconomic
Profile:

*Since 1970, the population has increased beyond 50,000, qualifying Wilmington as an entitlement city under the CDBG Program.

Council-Manager. Seven-member council elected by districts in nonpartisan elections. Mayor elected directly and is a member of the council.

Form of
Government

Urban Renewal, Neighborhood Facilities

Previous Federal
CD Grants

4th year: \$1,202,000
3rd year: \$1,140,000
2nd year: \$1,018,000

CDBG Funding

Planning Department
Mr. William C. Lott, Community Development Planner
Post Office Drawer 1810
Wilmington, North Carolina 28401
(919) 763-5468

CDBG Program
Administered by

NORTH CAROLINA

Wilmington officials created a network of district groups (assemblies) and a city-wide advisory committee which advise the city on the CDBG Program. At these two levels, residents, many of whom were formerly disenfranchised, have an impact on city government.

BACKGROUND OF CITIZEN PARTICIPATION IN WILMINGTON

Wilmington had little experience with citizen participation prior to the CDBG Program in 1974. The city's participation in urban renewal did not provide an active role for citizens. Historically, black neighborhoods received fewer and poorer services than white neighborhoods. When the CDBG Program began, for example, most of the 21 miles of unpaved streets were in black neighborhoods.

Wilmington was the scene of severe racial tension in the early Seventies. Civil rights disturbances rocked the city over school busing issues. The Good Neighbor Council was formed to create a forum for discussing differences between white and black citizens. This group became the City Human Relations Commission. Racial polarization has since subsided in Wilmington. The citizen participation process for the CDBG Program represents, for many, the first time that black and white residents discussed issues calmly rather than belligerently.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

Wilmington did not have many neighborhood organizations upon which to base its citizen participation process for the CDBG Program; in fact, no clear sense of neighborhoods existed in Wilmington. In 1974, the Planning Department's new community development planner developed a neighborhood-oriented mechanism for citizen participation. To define neighborhood boundaries, the community development planner, with the help of volunteer staff, undertook a door-to-door survey of 700 people. The respondents were asked to draw maps of their neighborhoods and to indicate where their friends and neighbors lived. They were also asked to list five neighborhood and community leaders. From the survey, 72 neighborhoods were identified. Because 72 neighborhoods were too cumbersome to administer, the neighborhoods were grouped into 17 "assemblies" with about 3,000 residents in each. The community development staff asked the people named most often in the survey as community leaders to serve as representatives. If they were unable to participate, the second most frequently named leaders were asked. Representatives from each assembly comprised the first year's Community Development Committee along with five representatives from a coalition of city-wide civic organizations such as

the League of Women Voters, the Kiwanis, and the Boys Club.

The Assemblies

Each neighborhood is included in an assembly. Most assemblies meet once a month to discuss issues relevant to their neighborhood. Between 15 and 40 people regularly attend assembly meetings, and anyone who attends can vote. The issues facing the assemblies vary. Some assemblies are faced with problems of severe housing deterioration, bad drainage and unpaved roads; while others are concerned with zoning, or recreation. Although regular assembly meetings tend to attract the same participants, attendance increases when controversial issues are discussed. For example, discussion of the proposed construction of a shopping mall and the proposed enlargement of a city-owned garage resulted in intense interest in the affected assemblies. Assemblies have become a major source of citizen activism. However, they have not yet planned for the development of their areas, and their activities are often a reaction to the city's and private developers' proposals. The exception is the allocation of CDBG funds. Each assembly has a planning committee of about three people, which meets regularly with the community development staff to develop area budget priorities.

Assemblies react to city proposals in their areas or make general and short-term proposals rather than prepare comprehensive plans. Their ability to plan is limited by the amount and type of technical assistance and city resources available to them, as well as their organizational support in the neighborhoods.

Community Development Committee

The Community Development Committee reviews neighborhood, assembly, and city-wide problems and proposes solutions to city departments and the city council at monthly meetings. Its other major responsibility is to develop the CDBG application for city council approval. Since the second year of the CDBG, each assembly has elected a delegate and an alternate to serve on the committee. Both the delegate and the alternate are required to attend monthly meetings. After the delegate serves one year, the alternate becomes the delegate and a new alternate is elected. The previous delegate may not serve for another year as alternate or delegate. If a committee member misses more than three consecutive meetings, the seat is relinquished to the alternate.

At Community Development Committee meetings, each assembly reports on the activities in its area. The community development staff makes recommendations to the assemblies on allocating CDBG money. The assemblies study the suggestions made by the staff, and add or delete budget items. They present their priorities to the city council at a hearing early in the budgeting

process, which runs from October through February. The community development staff researches projects' eligibility for CDBG funds and recommends a CDBG budget to the committee. The Community Development Committee holds two public hearings, which city council members generally attend. The committee considers public comments and revises the budget for presentation to the city council.

In the third year of the CDBG Program, a budget subcommittee made recommendations on the application to the full Community Development Committee. The committee was not satisfied with the recommendations, which it received only a week before public hearings. In the fourth year, the entire Community Development Committee formulated the content of the CDBG budget with staff assistance.

Neither the committee nor the assemblies implement, monitor, or evaluate CDBG projects. The exception is the involvement of residents in the Neighborhood Housing Services Program.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN WILMINGTON

Staff Support for Assemblies and the Community Development Committee

Each assembly receives organizational and clerical assistance from the planning department. One staff member, the citizen participation coordinator, supervises the activities of all assemblies and the Community Development Committee. Student interns serve as assembly staff members. They take minutes at meetings, send notices to assembly members about meetings and events, and perform other staff functions. One intern is assigned to develop publicity for the CDBG Program.

Public Communications

The publicity budget, aside from the student intern's salary, is about \$12,000 a year. Advertisements are placed in the newspapers, including the minority newspaper, to announce important Community Development Committee and assembly meetings. Newspaper coverage has been extensive: a paper ran a series of full page articles on each assembly, committee meetings have been regularly reported; and the daily newspaper reports on individual Community Development Committee members. These reports include biographical information, and describe how members became interested in the Community Development Committee and what their assemblies are doing.

The city has published neighborhood books about each assembly area. These books are widely available, and describe housing conditions, land use patterns, growth trends, social profiles and problems.

Training of Community Development Committee Members

Community Development Committee members attend one evening workshop as formal training at the beginning of each program year. In addition, the community development staff regularly briefs the committee members on important developments, such as the publication of new CDBG regulations or the initiation of new programs. Important to the training of committee members is the year the delegates serve as alternate members. Through this process, they learn how the CDBG budget is formulated, and become prepared to assume the responsibilities of delegates.

Representativeness

The Community Development Committee is representative of the city's neighborhoods. Black citizens are proportionately well accounted for on the committee, but residents of public housing have generally not participated. Because assemblies recognized a lack of widespread participation, they enlisted block captains and neighborhood leaders to create more support. Some assemblies distributed leaflets door-to-door to increase turnout at regular meetings, but had little success.

The Community Development Committee includes all neighborhoods in the city, not just those which are eligible for CDBG funding. As a result of their participation on the committee, some citizens from higher income communities learned that there has long been inequity in the distribution of city services. They believe now that the CDBG Program should meet the needs of poor neighborhoods. They have also learned that the needs in middle-income communities can be met by other sources of funds. The committee created an understanding among Wilmington residents of the problems and strengths of all neighborhoods. It created a forum for communication between blacks and whites that had not previously existed. Perhaps most important is the new feeling among Wilmington residents that they can have some influence over what happens in their city.

Influence

The Community Development Committee writes the recommended CDBG budget which the city council considers for approval. While the committee receives much advice from the community development staff on budget preparation, it makes the decisions on what to include. In the third year application, the city council approved everything that the committee suggested except one social service program.

Development of Neighborhood Identity

The Community Development Committee process has been effective in developing a sense of neighborhood and commitment. Many citizens

now consider themselves residents of a neighborhood and are concerned with its quality. Some city departments consulted with assemblies to get their opinions of projects being considered in their area. Some departments have learned that it can be counterproductive to proceed with development plans without the consent of the assemblies. For example, the Public Works Department intended to expand and improve a garage for city vehicles in the Brooklyn neighborhood with federal Economic Development

Administration funds. They forwarded the proposal to the committee, expecting immediate acceptance. However, the Brooklyn assembly refused to endorse it, not wanting to invest any more in a facility which had been a source of disruption for years and which it wanted relocated. Other neighborhoods and the committee joined the Brooklyn assembly in refusing to endorse the proposal. The proposal was rejected by the Economic Development Administration in part because of the lack of local support.

WINOOSKI

Northeastern Vermont

Location

**Population: 7,000
less than 1% nonwhite
Median income: \$9,270
11% below poverty level**

Community
Socioeconomic
Profile:

* Data on percent unemployed are not available for Winooski.

Council-Manager. Four-member council elected at large in partisan elections. Mayor elected directly and sits as a fifth member of the council.

Form of
Government

**Urban Renewal, Neighborhood Development Program, Model Cities,
Water and Sewer, Open Space**

Previous Federal
CD Grants

**4th year: \$ 707,000
3rd year: \$1,312,000
2nd year: \$1,345,000**

CDBG Funding

**Department of Community Development
Mr. Mark Tigan, Director
City Hall
Winooski, Vermont 05404
(802) 655-0571**

CDBG Program
Administered by

VERMONT

Winooski's citizen participation strategy affords citizens the opportunity to participate as voting members of the group which formulates CDBG recommendations for the city council. It promotes the existence of a group of active and interested citizens who are well-informed and sophisticated in community development. In addition, the city benefits from meaningful citizen participation in non-CDBG development activities.

BACKGROUND OF CITIZEN PARTICIPATION IN WINOOSKI

Winooski is a small New England city with a homogeneous population of white, Democratic, Catholic residents; approximately 60 percent of the population are of French ancestry. In 1954, the city's major industry, a textile mill, closed and left more than half of Winooski's working force unemployed. This resulted in an erosion of the tax base, with negative effects on Winooski's image among neighboring cities and on the morale of its own citizens. In 1967, Winooski was chosen to participate in the Model Cities program, receiving a large per capita Model Cities grant. The entire city was designated a target area.

To meet the HUD-mandated citizen participation requirements of Model Cities, Winooski established a Model Cities Committee of approximately 90 people. The committee included representatives of local organizations (Veterans of Foreign Wars, Knights of Columbus), different professions, schools, and churches. The city was divided into 50 blocks, each electing a block captain to serve as a representative to the committee. Block captains disseminated information within their blocks and held block meetings to provide citizen advice to the Model Cities Committee. During the Model Cities program, approximately 30 members of the committee remained highly active and became very knowledgeable about issues in community development and funding.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

In adopting a plan for citizen participation under the CDBG Program, the city council rejected continuing the Model Cities procedure of electing block captains, because those who had been elected were not necessarily committed to participating in community development. Because of the homogeneity of Winooski's population and the smallness of the city, there were no identifiable neighborhoods and no established neighborhood-based organizations. The council, therefore, decided to create a Community Development Committee which provided for community participation.

Community Development Committee

The Community Development Committee began as a 25-member group consisting of 15 of the most active members from the Model Cities Committee plus ten new individuals, two members appointed by each council member including the mayor. According to Community Development Committee bylaws, citizens who attend three consecutive committee meetings are voting members. City council members are ex officio, nonvoting committee members. Voting members who miss three consecutive meetings become nonvoting members. Voting status is regained by attending three consecutive meetings. City staff maintains records of attendance and reminds members when they are about to lose voting status. In January, 1978, there were 60 voting members on the Community Development Committee.

The Community Development Committee meets monthly and more frequently during the CDBG planning months (August through December). All committee meetings are open to the public. Minutes of each meeting are prepared by the Community Development Department and are available for public review in city hall. In addition, each meeting is tape recorded, and anyone can listen to those tapes. Members receive an agenda prior to each meeting. Nonmembers learn of committee meetings through announcements in the local paper. In the third year, the Winooski Department of Community Development mailed a letter to all citizens explaining the Community Development Committee and inviting citizens to join.

The Community Development Committee operates under bylaws which can be amended with the approval of two-thirds of the members present at any meeting, provided at least ten days written notice is given to all members.

In August, the Community Development Committee publishes an invitation for proposal submission. Any organization or individual can submit a proposal; some proposals come from the city manager. The committee then discusses CDBG regulations and projects and activities at a workshop. It obtains an evaluation of the progress, success and problems of each current CDBG-funded project or activity. A recommended proposal is then developed which is presented and discussed at a public hearing. The committee then votes to select projects to be recommended for city council approval.

The city council holds a public hearing at which the committee's recommendations are presented, and other citizen suggestions are considered. Following the council's vote on the recommendations, the committee is informed in writing of the reasons for rejections or modifications of its recommendations.

The Community Development Committee serves as an advisor to the city manager and council on community development related matters other than those funded by CDBG grants: it makes recommendations on community-wide issues at the request of the city manager or council; it advises on city planning; it recommends city

legislation for development; and it recommends the filing of applications for other federal or state grants and loans. The president of the committee considers it a "service organization to the city council." In order to resolve issues for which there is no strong majority vote, the committee conducts opinion polls of all citizens.

Winooski Alliance

The Winooski Alliance was formed in September, 1977. The alliance is part of a state wide movement to encourage the development of community-based citizen organizations. Before the alliance, there were no community-based neighborhood organizations in Winooski. The alliance attracts citizens who feel that the city is not active enough in providing information for meaningful citizen participation. The activities of the alliance have brought new members to the Community Development Committee.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN WINOOSKI

Openness of Community Development Committee

Under the Community Development Committee bylaws, voting membership is open to all people who exhibit enough interest and commitment to attend three consecutive meetings. This has resulted in a sizeable group of citizens whose committee experience gives them some expertise and sophistication in community development and planning. At the same time, the membership requirement provides some insurance against a pressure group's overwhelming a voting session with people who have not had an opportunity to hear more than one side of an issue. It also prevents the committee from growing to an unworkable size.

Although there were 60 voting members on the Community Development Committee during the fourth year and attendance at meetings averaged 25 to 30 per meeting, membership and attendance had been higher in the past. The apparent decrease in citizen participation may have been caused by a lack of interest in current CDBG activities or because of dwindling funding levels. However, members of the Winooski Alliance feel that the city could do a better job in informing citizens of community development issues and of opportunities to participate. Responding to that concern, the city set up and ran neighborhood meetings and workshops. Until August, 1976, the Department of Community Development published a monthly newspaper, *The Winooski Booster News*, but publication ended due to decreasing financial support from the community and reduced staff

time for production. Without this paper, the city now relies on announcements in the Burlington paper. The city recognized this lack of information as a problem and has initiated a publication delivered free to all residents, explaining CDBG activities and soliciting participation. In addition, the community development staff may also hold meetings with residents whose neighborhoods are targeted for development in future funding years.

Project Proposal Forms

The Community Development Committee developed a form for the submission of project proposals. It requests the project title; name and address of operating agency; name of contact person; project location; specification of who will be served; short-and long-term goals; description of specific activities or purchases to be funded by CDBG money, along with timetables and budgets; and a justification of the need for the project.

Influence of the Community Development Committee

The city council accepted the committee's third year recommendations without modification. During the preparation of the second year application the council denied only \$2,000 out of the \$1,740,000 budget that was recommended.

The Community Development Committee's bylaws give it authority to provide citizen advice to the city manager and to the council in community matters unrelated to the CDBG Program. For example, the committee was instrumental in halting city plans to spend state money to widen streets. Citizens preferred not to chop down the existing trees. This authority has allowed the committee to make useful recommendations for integrating CDBG funds with money from other sources to support an effective community development program.

Project Implementation and Evaluation

The Community Development Committee is actively involved in implementing projects. For example, the committee has appointed ad hoc subcommittees to select sites for council-approved construction. In addition, the committee evaluates the progress of all projects as part of the process of developing recommendations for continued funding. An evaluation form has been developed for the use of project coordinators in submitting a written status report to the committee. The form requests the following information: goals or objectives of project (as specified in the original application plus any amendments); a summary of project activities; a discussion of the problems and successes of the project; and a delineation of the budget originally allocated and currently spent.

**Citizen Participation
in Urban Counties**

**DADE COUNTY
FLORIDA**

**JEFFERSON COUNTY
KENTUCKY**

**KING COUNTY
WASHINGTON**

**MADISON COUNTY
ILLINOIS**

Citizen Participation in Urban Counties

The descriptions of citizen participation processes in urban counties are highlighted in this section of the catalog because of the particular problems counties face in administering the CDBG Program. Counties differ from cities in two basic ways. First, their land area is often larger and more geographically diverse than that of a city. Second, they include within their boundaries other local governmental jurisdictions with their own elected officials. The county, as the CDBG recipient, assumes responsibility for both political and administrative activities of the CDBG Program within that locality. These unique characteristics of urban counties not only complicate the planning and implementation of community development projects but also create problems for establishing an effective citizen participation process. The four counties included in this section have developed innovative strategies and techniques for involving citizens in the CDBG Program. Other urban counties will find the experience of these counties to be instructive in improving their own citizen participation processes.

DADE COUNTY

Southeastern Florida

Location

Population: 1,268,000
16% nonwhite 35% Hispanic**
Median income: \$9,245
11% below poverty level

Community
Socioeconomic
Profile: *

* Data on percent unemployed are not available for Dade County.

** County estimate.

Commission-Manager. Eight commission members elected by district in nonpartisan elections. Mayor sits on commission and is elected at large.

Form of
Government

Urban Renewal, Neighborhood Development Program, Model Cities, Water and Sewer, Open Space, Neighborhood Facilities.

Previous Federal
CD Grants

4th year: \$16,000,000
3rd year: \$19,000,000
2nd year: \$20,998,000

CDBG Funding

**Office of Community
Development Coordination
Mr. Sergio Pereira, Coordinator
140 W. Flagler Street
Suite 1105
Miami, Florida 33130
(305) 579-2553**

CDBG Program
Administered by

FLORIDA

Dade County created a citizen participation process which has captured the attention of many of the low- and moderate-income residents of a large and ethnically diverse county. Its neighborhood-based CDBG organizations have spurred the interest of thousands of residents of the county who were not previously involved in local government.

BACKGROUND OF CITIZEN PARTICIPATION IN DADE COUNTY

Dade County's metropolitan government was formed in 1957. Half of the County's population lives in its 26 municipalities, while the other half lives in unincorporated areas. Dade provides many traditional metropolitan services such as fire, sanitation, and police to the unincorporated areas and to some of the municipalities. It is the county rather than the municipalities that is responsible for housing and redevelopment, health services, and transportation. The county administered the Urban Renewal and Model Cities programs and operates the Community Action Program.

The Dade County area grew quickly after World War II. It has become a large retirement community with an economy that, until recently, depended heavily on tourism. The population of the area changed drastically with the influx of about a half million Cubans to the county in the early Sixties. With a population which is over half Latin-American, Miami is a bilingual and bicultural city.

Prior to the CDBG Program, the Model Cities area was in northwest Miami and included parts of nearby unincorporated areas, while the Neighborhood Development Program was administered in eight project areas. Community Action Councils operated in 15 service areas under the auspices of the Community Action Agency. Sixty percent of the council members were elected by residents of the area, and they in turn elected the remaining 40 percent of the council. Community Action Councils acted as the governing boards of local community centers which provided social and referral services.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

With the introduction of the CDBG Program, the county designated 18 target areas for concentration of CDBG funds. Despite the existence of previous service area boundaries in earlier federal programs, the county decided to create new boundaries based on overcrowded housing, a high percentage of low-income residents, and poor housing conditions. When two of the three factors existed in a census tract, the tract was included in a target area. Boundary lines are generally coterminous with census tract boundaries. The target areas range from a migrant labor camp in South Dade to dense central Miami neighborhoods, and vary greatly in area and

population size. Downtown Miami also is included as a target area.

During the first year of the CDBG Program, citizen participation took place at large open meetings in each target area. The meetings were widely publicized, and many attended to elect a chairperson to represent their area. In some areas, different neighborhood associations competed for predominance in the CDBG Program whereas in others, very little factionalism arose. In each target area, the people wrote a list of their neighborhood's needs. The next week, they met again to vote on priority needs. No community development plan evolved from this process; most neighborhoods were interested in building community centers to carry on recreation and social service programs.

During the first year, the county manager's office conducted the meetings. After the first-year application was completed, the manager created the Office of Community Development Coordination which was directly responsible to him. The manager wanted a technical and coordinating body to manage the grant. The communications office and the Community Action Agency have an agreement with the Office of Community Development Coordination to carry out certain citizen participation activities.

The communications office is part of the Office of the County Manager. It prepares printed materials, develops publicity campaigns, and handles press relations for the county. The Office of Community Development Coordination wrote an agreement with the communications office to develop publicity for the CDBG Program. The Community Action Agency was given the responsibility of distributing information directly to citizens, taking minutes at meetings, helping to prepare agendas for meetings in target areas, supervising elections of chairpersons, and organizing to create viable target area groups.

During the second year, rules were developed to govern the election of target area officers. Each target area was required to elect at a minimum one chairperson and one vice-chairperson to represent the area for two years. In areas with only a chairperson and vice-chairperson, task forces were named to consider projects for physical, social, and economic development. Some areas elected an eight-to-ten member board in addition to the two officers. In four target areas, the residents voted to combine the Community Action Council with the CDBG organization and form a single board. To vote, a person was required to live, work or own property in the target area; however, anyone who attended could participate in monthly target area meetings. Participation in elections was strong in most parts of the county.

Application Development Process

A planner from the Office of Community Development Coordination works with each of the target area groups. In Miami, a planner from the city's Community Development Department works

with the county planners. The planners provide substantial information about CDBG alternative community development strategies based on neighborhood needs.

Planning for the upcoming CDBG application begins six months before it is submitted to HUD. At target area meetings, Office of Community Development Coordination staff distributes a planning kit to residents. The kit contains a profile of the neighborhood, including social and statistical information as well as information about environmental considerations, land use, housing conditions, development patterns, water and sewer systems, transportation, and neighborhood support facilities. The kit also contains basic information about the CDBG, the amount of the present year's grant, and the previous years' activities. The meetings are largely informational.

The planners prepare a strategy for the year. Within the context of a process which has gone on for several years, the planners create a list of potential projects for each target area to consider, as well as projects which might influence several target areas. The planners hold briefing sessions with the target area chairperson to discuss the strategy. The target area groups (or task forces within groups) then consider each item and add or delete projects. The staff works with the target area groups at each stage of the process. After the groups draft project lists, the staff prepares cost estimates for all projects and makes recommendations on how to reduce the scope of the project to stay within the grant amount, or how to spread the implementation of the project over several years. The citizens vote on the final list. Target areas receive from \$250,000 to \$1,500,000, but target area groups do not work within a predetermined allocation. Planners encourage residents to consider projects rather than dollar amounts.

A parallel process occurs for decisions concerning multitarget area projects. Following the publication of a request for proposals, organizations and county agencies concerned with such issues as historic preservation, housing, architectural barriers to the handicapped, and economic development submit proposals at a public hearing before the Citizen Advisory Committee. This committee is composed of the chairpersons of every target area group and eight representatives of major interest groups appointed by the county manager. The proposals are evaluated by the staff and target area groups according to a list of ten established criteria. It is difficult to initiate new multitarget area projects because of the amount of funds committed to ongoing programs. According to some staff, neighborhood chairpersons do not generally take their role in this process seriously enough, as they are interested less in county-wide problems than neighborhood problems.

The staff makes recommendations to the county commission on the CDBG budget for the year. The final decisions regarding the allocation of CDBG funds rest with the county commission. The commission holds two public hearings on the

application, two weeks apart. Prior to the first hearing, staff briefs the commission on the recommendations. In the third year, the commission added two projects to the application at the urging of representatives of target area groups; in the fourth year, the commission made no changes.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN DADE COUNTY

Involvement of Target Area Group in Implementation and Monitoring

Target area organizations are involved in implementing and monitoring projects funded with CDBG funds. Citizen comment is solicited at regular monthly meetings and at task force meetings on such detailed matters as site selection, consultant selection, and design. Through this process, citizens have learned how projects are implemented. The staff of the Office of Community Development Coordination prepared a chart of the 72 steps necessary to complete a project in Dade County with CDBG funds. The office prepares a status report for the entire county detailing how much money has been spent on each project and which steps have been completed (such as preliminary drawings or appraisal). Through their monthly meetings, citizens have become directly involved in evaluating consultant proposals, choosing designs, and monitoring the daily operations of the contractors.

However, the county has experienced some problems with the day-to-day involvement of citizens in implementation. The coordinator of the Office of Community Development Coordination is trying to make that office a clearinghouse for complaints about workmanship to avoid friction between the community residents and the contractors.

Interest of Target Area Residents

Each target area group holds monthly meetings. During the application development period, meetings are often held more frequently. Many factors have contributed to increased interest among target area residents to participate in their neighborhood groups or to run for chairperson. These factors include an increase in the credibility of target area groups, the availability of planning and organizational assistance, and the potential for citizen control of CDBG allocations. In the Latin communities of Miami, community development meetings are important events, and the major political parties endorse candidates for chairperson.

Communication with the General Public

For each target area meeting (or for a group of them if they are being convened at about the same

time), the communications office runs newspaper advertisements. If the target area is a Spanish speaking community, the advertisements are printed in Spanish. Flyers are printed with the meeting's agenda, and are distributed by the staff of the Community Action Agency. In addition to the written announcements, the communications office has a radio budget. It advertises in 30- or 60-second spots on English and Spanish radio stations. The radio stations have agreed to match one public service announcement for each paid advertisement so the CDBG Program receives twice the air time. Until recently, the Community Action Agency staff set up sandwich board display signs in front of regular meeting places the day of the meetings, announcing the time and the agenda of the evening's meetings. The Community Action Agency staff also tries to phone or tell as many people as possible about these meetings.

In addition to publicizing the meetings, the communications office performs other functions vital to maintaining interest in the CDBG Program. At the beginning of each year, the office prepares a folder for participants. Almost all material is printed in English and Spanish, and is written in a journalistic rather than a technical style. It is attractively designed, and easy to read and understand. The staff of the communications office see the office as a bridge between the technical work of the Office of Community Development Coordination and county departments and the general public.

The office also helps organize special events to attract media attention to CDBG projects. For example, the press has covered tree planting ceremonies, while television has broadcast children riding bulldozers at groundbreakings. Such events help to encourage the people who have been going to meetings for years trying to get a project started by giving them some recognition for their work. During the third year, the county manager and the coordinator of the Office of Community Development Coordination appeared on television to present a slide show on the community development program and to answer

questions about it.

Because CDBG is always in the newspapers, the program is well known in Dade County. Through its tremendous outreach effort, Dade County has been able to attract as many as 3,000 people to a single neighborhood election, and about 80 people to most target area monthly meetings.

Involvement of Community Action Agency

The Community Action Agency's role as the organizer in the neighborhoods has been an important factor in stimulating and maintaining citizens' interest in CDBG. Since word-of-mouth is still the most successful way to get neighbors to attend a meeting, the agency serves an essential function in getting that word out. Agency staff helps set the agenda, arranges the meeting places and distributes flyers for each target area meeting.

Relationship between City and County

Miami and Dade County have a mutually reinforcing relationship in the planning and administration of CDBG funds in the city. While many urban counties do not include CDBG entitlement cities within their administration, Dade County administers some programs in Miami. As a metropolitan government, Dade has had more experience with federal programs and, in the case of housing and redevelopment, it is the sole implementer of these projects. Planning, strategy development, and program implementation are accomplished with much coordination. The contractual relationship between the city and county provides for the two to trade programs. The county carries out public works and housing programs, while the city takes the lead in municipal services such as recreation and parks. While the city staff assumes the major responsibility in target areas within the city, the county staff is present at all meetings and city and county planners work together. The relationship between Miami and Dade is not duplicated in other municipalities within the county.

JEFFERSON COUNTY

Northwestern Kentucky, includes the City of Louisville

Location

Population: 695,000
14% nonwhite
Median income: \$9,819
9% below poverty level

Community
Socioeconomic
Profile: *

* Data on percent unemployed are not available for Jefferson County.

Judge-Fiscal Court. Judge elected at large. Three member fiscal court elected from three districts.

Form of
Government

Urban Renewal, Neighborhood Development Program, Water and Sewer, Open Space

Previous Federal
CD Grants

4th year: \$3,723,000
3rd year: \$3,624,000
2nd year: \$2,887,000

CDBG Funding

Housing Authority and Community Development Agency of
Jefferson County
Ms. Marcella C. Lamb, Coordinator
100 North 6th Street
Louisville, Kentucky 40202
(502) 583-8893

CDBG Program
Administered by

KENTUCKY

Jefferson County's citizen participation process is characterized by an influential, technically well informed Citizen Advisory Group, which determines the content of the CDBG application, monitors projects and is occasionally involved in implementation. It has developed a particularly cooperative relationship with staff and has maintained a county-wide perspective uncompromised by local jurisdictional interests.

BACKGROUND OF CITIZEN PARTICIPATION IN JEFFERSON COUNTY

Jefferson County is a mix of urban and suburban communities and includes the City of Louisville. Louisville receives its own entitlement grant and with the exception of a few small joint projects with the county, does not share in county CDBG funds. Thus, the county's CDBG allotments fund projects outside of the city limits.

Within the past decade, the county experienced significant industrial growth and supports a variety of light and, to a lesser degree, heavy industry. The relatively uncontrolled growth of industry has fostered a stable economic and employment base for the county, but has also exacerbated many community development problems. Transportation has become a particularly serious problem as development and expansion of the local highway system has lagged behind residential and industrial growth. Drainage problems caused by the county's low terrain and insufficiently regulated development after World War II has made sewer improvement an important issue. Housing rehabilitation and redevelopment are needed in the older sections of the county. Recently, Jefferson County was greatly affected by the events surrounding a court order to bus school children for the purpose of eliminating racial segregation.

Jefferson County, like most urban counties, had limited experience with federal community development efforts prior to the CDBG Program. It also lacked a strong network of citizen organizations upon which a participation structure could be built. Consequently, the county adopted a participation plan which established an appointed Citizen Advisory Group as the primary vehicle for citizen involvement.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

The purpose of Jefferson County's Citizen Advisory Group is to identify community needs and recommend projects to the fiscal court, which, as the county's legislative body, makes the final determination of the CDBG budget. The 13-member advisory group is appointed by the county judge. Its members are selected from various areas

of the county and include representatives of low-income and minority groups. Citizen Advisory Group members are appointed to indefinite terms.

Since its inception in the first year of the CDBG Program, the purpose and functions of the Community Advisory Group have remained largely unchanged. However, three modifications in the process have occurred. First, during the first year 23 neighborhood meetings were held to provide information and solicit citizen recommendations. The meetings, however, proved ineffective and, in some cases, engendered unrealistic expectations about what the program could accomplish. As a result, the number of public meetings was reduced to three in subsequent years. Second, while the Community Advisory Group's authority remained constant, it required less technical assistance as its members acquired the knowledge and skills needed to evaluate proposals and monitor projects. During the first two years a technical advisory group of department directors worked closely with the community group but was replaced in the third year by a staff planning team. Third, in recent years, the Community Advisory Group has been more active in implementing and monitoring CDBG programs.

The administration of the CDBG Program is the responsibility of the county's Housing Authority and Community Development Agency, an independent agency. The county's fiscal court contracts with the agencies to prepare the application and to implement, monitor, and evaluate the CDBG Program. The fiscal court approves the application and reserves the right to make modifications.

The Community Development Division of the agency coordinates all CDBG activities, handles fiscal management, implements some CDBG activities, and is responsible for citizen participation. Most CDBG activities are conducted by one of three departments. Housing activities are handled by the Housing Division of the agency, physical improvement projects are developed and carried out through the county's Public Works Department, and the Metropolitan Parks and Recreation Board, a joint city-county entity, implements park acquisition and renovation projects. A planning team of staff from these departments along with representatives of the Planning Commission, Aging and Handicapped Department and the Citizens Access Department meet regularly to discuss future plans for the CDBG Program, as well as problems with current projects. The chairperson of the Citizens Advisory Group is also a member of the planning team.

The Application Process

Citizen involvement in the CDBG application process begins in the early fall when a public meeting is held in the county's three voting districts. These meetings are conducted by Community Development Division staff to inform citizens about the program, the types of activities eligible for funding and how citizens may submit

proposals. The meetings are well publicized and attended by the Citizen Advisory Groups and staff from line departments.

Although citizen proposals are accepted throughout the year, they are most vigorously solicited after the public meetings. Brochures which describe the program, how citizens can submit proposals and offer other information are sent to community groups. Community access coordinators, the community workers of the county's Citizen Access Department, inform neighborhood groups and other organizations about the program. The Community Development Division catalogs the proposals, reviews social service and miscellaneous projects, and sends the other proposals to appropriate departments for review. Each department reviews the citizen proposals that are forwarded from the Community Development Division. Ineligible activities are identified and, in some cases, alternate sources of funding are sought. Eligible activities are studied and cost estimates are developed. Citizen proposals are evaluated with proposals developed within the department and are ranked in order of their priority.

The Citizen Advisory Group meets monthly to monitor projects, develop proposals, and maintain contact with the community. From January through March, however, the advisory group focuses on the review of CDBG proposals. A series of three meetings are held with the staffs of the Parks and Recreation, Public Works, and Housing departments to review their recommendations for projects. Each county department presents its recommendations to the advisory group and responds to questions on particular projects. Community Development Division staff is also present to answer questions about eligibility and the status of earlier CDBG projects. A fourth meeting is devoted to miscellaneous projects.

Immediately after this, the Citizen Advisory Group evaluates the projects it has received and identifies those it will recommend to the fiscal court. The advisory group initially determines the level of funding for each program category. It then pares down the list of proposals by eliminating projects that have little support among advisory group members. The remaining projects are discussed in detail. Cost estimates may be revised and projects are sometimes modified to fit within budget limits. Each project is voted upon individually.

The projects recommended by the advisory group are reviewed by the Housing Authority and Community Development Agency board of directors and are then submitted to the county's fiscal court. The fiscal court discusses the projects in open session. A public hearing is held to obtain the community's response to the application. The fiscal court formally adopts the application by resolution. Through the first four years of the program, the fiscal court made no changes in the projects recommended by the Citizen Advisory Group.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN JEFFERSON COUNTY

The Citizen Advisory Group, the core component of citizen participation in Jefferson County, exercises significant technical expertise and influence. It is involved at virtually every stage of the CDBG process from application development to monitoring. Part of the advisory group's success must be attributed to its relationship with Community Development Division staff. Since the beginning of the CDBG Program, a cooperative and supportive relationship between the advisory group and staff has evolved which has not compromised the distinct role of either group. Staff keeps the advisory group informed of all CDBG activities, regularly attends advisory group meetings, and provides clerical support. The advisory group calls on division staff to provide specific information and other forms of support when needed.

It is important to note that in its three years of operation the advisory group has not succumbed to localized interests but has remained sensitive to the overall needs of county. During several years the members of the Community Advisory Group have toured the county by bus to acquire a better understanding of the community development needs of the county. The day-long tours were organized by Community Development Division staff and covered most of the CDBG target areas. Staff identified the problems of each area and pointed out where CDBG funds had been spent or were expected to be programmed. Advisory group members felt the tours sensitized them to the problems of the county beyond their particular residential areas.

Citizen Involvement in Monitoring and Implementation

The Citizen Advisory Group critically monitors all CDBG projects at its regular monthly meeting. Each month staff members of the departments that administer CDBG projects are invited to report on the status of projects for which their department is responsible. Staff generally prepares a written report, briefly discusses the status of each project, and responds to questions from the advisory group. The advisory group also keeps abreast of CDBG activities through regular reports from the advisory group chairperson, who is a member of the inter-departmental CDBG planning team.

On occasion, the advisory group has become involved in the implementation of CDBG projects. In one instance, a complex target area project that was funded during the first three years of the program required the advisory group's detailed attention. Staff relied on the advisory group to make basic decisions about the project and to build community support and cooperation.

Thus, while the advisory group is not usually involved in implementing projects, it has been used as a sounding board and resource on projects troubled by administrative difficulties or politically sensitive problems.

Community Development Survey

Since 1974, the Urban Studies Center of the University of Louisville has conducted surveys in Jefferson County to assess the attitudes of residents on various institutional, community, and quality of life issues. Three surveys are conducted each year; the second of these focuses on community development, citizen attitudes regarding community development problems and needs, and the effectiveness of local government in addressing these needs. Residents also respond to questions concerning the role of particular institutions in their community such as banks, churches, and industry. Items regarding the cohesiveness and sense of belonging in the community are included. Thus the survey

represents a relatively comprehensive assessment of the quality of life and concerns of the county's residents. Unlike many community surveys, those in Jefferson County are methodologically sophisticated. As a result, they are a reliable resource on which planning decisions can be based.

The research of the Urban Studies Center is a valuable resource to the Community Development Division and the Citizen Advisory Group. While the county and municipal governments do not fund the research, the findings of each survey are available to them. Those findings are useful since they are an accurate indicator of the concerns of the citizens and their satisfaction with local government services.

KING COUNTY

East central Washington (The cities of Seattle and Bellevue receive their own entitlement funding and are not included in the county program.)

Location

Population: 1,157,000
7% nonwhite
Median Income: \$11,886
5% below poverty level**

Community
Socioeconomic
Profile:*

*Data on percent unemployed are not available for King County.
**The population figure of 1,157,000 includes the cities of Seattle and Bellevue, which are not included in the county program. King County CDBG funds serve a population of 565,000.

Executive-Council. Nine-member council elected by district in partisan elections. County executive elected directly.

Form of
Government

Water and Sewer, Open Space

Previous Federal
CD Grants

**4th year: \$5,643,000
3rd year: \$5,452,000
2nd year: \$3,340,000**

CDBG Funding

**Housing and Community Development Program of King County
Mr. Pete Shepherd, Coordinator
1721 Smith Tower
Seattle, Washington 98104
(206) 344-7605**

CDBG Program
Administered by

WASHINGTON

Citizen participation in King County existed prior to and extends beyond the scope of the CDBG Program. Citizen participation processes in the county most frequently accompany efforts to develop community level (subcounty) plans as a means of managing growth as well as allocating CDBG funds.

BACKGROUND OF CITIZEN PARTICIPATION IN KING COUNTY

The largest county in the state of Washington, King County encompasses both sparsely populated rural sections and dense urban industrial centers and is undergoing major changes in the scope of services delivered to citizens. Once a rural-oriented government, King County is now predominantly urban, offering a wide variety of local government services. General population growth, economic development, and a change from a commission to a county executive-county council form of government in 1969 contributed to this change. Prior to 1974, the county had little experience in implementing federal community development programs. It briefly participated in Office of Economic Opportunity programs in the Sixties before local problems in those programs led the county to end its involvement.

The principal issue in the county is the management of growth. County government has responded to the growth issue through planning efforts involving citizen committees. In 1964, the county approved a comprehensive plan which established a policy of encouraging multiple growth centers while preserving agricultural and residential land. In the early Seventies, the county began working with citizens to prepare community plans for the county's 13 planning sub-areas. A 20-member Citizen Planning Committee was established in each area where a plan was undertaken. Since then, five community plans were completed and four more were initiated. Results of the plans established the basic guidelines for allocating CDBG and other funds. A major shorelines management program was also prepared through the efforts of a county-level, citizen-based Environmental Development Commission.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

A consortium agreement was obtained from the 27 incorporated areas in the county and the Muckleshoot Indian tribe, allowing the county to qualify for CDBG funds. Two separate processes were established for funding CDBG projects, one for incorporated areas of the county, and one for unincorporated areas. As part of the consortium

agreement, CDBG funds are divided into three separate "pots" of money. Ten percent is set aside for intergovernmental projects between two local governments in incorporated areas or one local government and the county; 50 percent is allocated, according to a strict population formula, to both incorporated and unincorporated areas; and 40 percent is in a competitive needs category open to both incorporated and unincorporated areas. It is in this category that most competition for CDBG funds occurs.

The program is administered by the county's Housing and Community Development Department. Incorporated and unincorporated areas follow two distinct processes in formulating CDBG proposals. The processes ultimately come together before the Joint Policy Committee, a six-member body of both county and incorporated area elected officials.

The Policy Development Commission is the major vehicle for organizing citizen participation at the county level. Formerly the Environmental Development Commission, it was established shortly after the county executive-county council form of government was adopted. The Policy Development Commission includes 18 citizens who essentially act as an executive board for the commission's standing and ad hoc committees. The county executive and council each appoint nine citizens to the commission, and approximately 200 citizens to various ad hoc committees. The committees solicit citizen interest in a variety of policy areas such as capital improvements, community development, and extracting industries. Each committee prepares a report which the commission reviews and comments on before submitting to the county council. A staff director of the Policy Development Commission promotes the commission's visibility and provides general support for it and its committees.

Unincorporated Areas

Citizen participation in unincorporated areas is conducted by the Housing and Community Development staff and by an ad hoc committee of the Policy Development Commission. The process evolved over the last several years, with details changing yearly. Every year the chairperson of the 18-member development commission appointed an ad hoc committee to assist county staff in soliciting citizen input for the CDBG application. In the past, several large county-wide meetings were sponsored by the commission to allow citizens to comment. In addition, several telephone or personal surveys were conducted by a consultant. The county Housing and Community Development staff believed the surveys yielded a broader range of information than that obtained by listening only to citizens who made an effort to attend meetings. Proposals were presented directly to departmental staff at a later date by individuals and organized groups in the unincorporated areas. The staff in turn made recommendations to the county council.

In planning for the fourth year, the county's unincorporated areas were divided into four quadrants. An ad hoc committee, appointed by the county council at the recommendation of the Policy Development Commission, held meetings in early summer to determine citizen needs and answer questions. Many high ranking staff members from various county departments attended these meetings to observe citizen reactions and answer questions. At the conclusion of these meetings, the ad hoc committee filed its report and disbanded.

Proposals which may or may not have been discussed at the regional meetings were submitted to the departmental staff for technical comment and eventual recommendation to the county executive. The county executive presented the unincorporated areas' CDBG budget along with the remainder of the county budget to the county council in mid-October. The county council held an evening public hearing and made some changes based on the comments received. The county council then passed the recommendations on to the Joint Policy Committee in December.

Incorporated Areas

Each incorporated area proposes its own projects to the Joint Policy Committee for both the population and the needs funds. Areas also may propose joint projects. While an incorporated area is entitled to a certain percentage of projects based on population, the projects first must be approved by the Joint Policy Committee and the county council. Each incorporated area has its own citizen participation process which is relatively new, and each area appears to operate somewhat differently based upon size of population and local traditions.

In preparation for the fourth year, a nine-member committee was appointed by local area staff in one of the large incorporated areas. It met five or six times to hear proposals from officials of various local agencies such as the Salvation Army. The local jurisdiction's community development staff made recommendations for the CDBG budget, and the committee slightly altered the priority list. They also made minor changes in the funding allotments of a few projects recommended by the planning department. Two public hearings were held at the conclusion of the committee's meetings. The priority list and the funding amounts were passed out, and differences between the two recommendations were highlighted.

In another major incorporated area of the county, the local area's staff held open meetings in three sections of the town to hear citizen suggestions for the CDBG Program. Except when a community issue raised intense feelings, attendance was low. When planning began for the fifth year, the city appointed a citizen committee to work closely with a member of the planning staff. The committee planned to meet and advise the staff on CDBG allocations.

Joint Policy Committee

The Joint Policy Committee is the policy-making body for the CDBG Program. It is composed of six elected officials: the county executive, two council members, and three mayors from the Suburban Mayors Association representing the incorporated areas. The mayors who sit on the Joint Policy Committee tend to be from the larger jurisdictions in the county.

The Joint Policy Committee meets weekly for five or six weeks, hearing testimony on proposals from local mayors and presentations from their planning directors. Occasionally, citizens from incorporated areas testify before the committee. Incorporated areas set priorities on projects for their areas. The committee decides the number of projects to fund overall and in a particular locality, but funds specific projects according to the priority assigned by the local jurisdiction. (For example, it will not fund an incorporated area's fourth priority without funding its third priority project.) The committee's policy of not violating the local jurisdiction's priority list resulted in the absence of testimony by citizens from incorporated areas during the fourth year.

The committee approves CDBG projects and forwards the application to the county council, where few changes are made. The Joint Policy Committee and the county council work under an agreement that if the council changes any part of the application, it will be returned to the committee for review prior to being submitted to HUD.

The allocation of funds for projects by the committee is a political process. With a multitude of incorporated jurisdictions and a district-based county council, there are strong incentives for elected officials to direct projects to their own constituencies. Therefore, citizens make their project desires known to their council representatives.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN KING COUNTY

Community Planning

Community plans formulated by citizens and staff set specific guidelines for the construction of future capital projects, including those funded by CDBG. The county's unincorporated areas are divided into 13 planning districts. Citizens from within each district are appointed by the county to serve on a 20-member Community Planning Committee. Generally, ten members are appointed by the county executive and ten members by the county council. A member of the Policy Development Commission is appointed as chairperson of the committee. A neutral person is appointed chairperson, usually someone who lives outside the community. The success of the planning process appears to depend in part on the chairperson. The committee meets over a period of

one to three years, depending on the difficulty it encounters in formulating a plan.

A planning team from the County Planning Division is assigned to each Community Plan. The planners and the committee meet to provide data on the community and to establish goals, procedures, and a task schedule. The success of the plan formulation process depends heavily on whether initial consensus can be reached on these matters among planners and committee members.

The Community Planning Committee uses several methods to solicit citizen views on the proposed plan. Newspapers announce the committee and the pending planning effort. Mailings announcing the beginning of work on the plan are sent to all property owners in the area. The mailing is a critical step in establishing and maintaining the credibility of the process by reducing claims after completion of the plans that people were unaware of the planning effort.

The committee also holds open meetings in several areas of the community (which may cover 60 to 70 square miles). Citizens, staff and committee members list (on a chart) their concerns for the community considered in the plan. Citizens then rank and vote on them. At the conclusion of the session, the concerns are summarized. Through this process, which was used in three community plans, citizens are able to communicate their concerns to the committee.

The planners and the committee also discuss the issues raised by citizens in the open meetings. Then they decide which areas should be addressed in the plan, and discuss objectives and policy options for these issue areas.

Following the above process, the committee and staff return to the same geographic areas and hold workshops to discuss the issues and policy options which emerged. Then they prepare a draft of the plan and present it at one or two community-wide meetings and determine if changes should be made based on citizen comment. The plan is then forwarded to the Policy Development Commission and the county council for review.

Plans developed early in the county's planning experience were relatively open, permitting the inclusion of a variety of sometimes incompatible projects. However, later plans confronted the trade-offs involved in alternative proposals, attempting to set a definite course for land use in the communities. Plans generally include: an elaboration of critical issues; a land use plan; zoning revisions; a list of scrutinized capital proposals; and statements about programmatic needs for the area. In some instances, plans have suggested social services required in an area.

Community plans are the basis for funding CDBG and other projects in the community, including those listed in the capital improvements

plan. In proposing CDBG projects, some groups and individuals press for implementation of a portion of their community plans. In this way, community plans become a guide for the formulation, approval, or rejection of the CDBG funded projects.

Staff Support and Technical Assistance

The current process for citizen participation in CDBG is heavily dependent on the commitment and interest of staff in several parts of county government. Staff members organize and attend citizen meetings and assist with the preparation of proposals as well as planning and determining projects for CDBG funding. Their substantial commitment of time, patience, and expertise is expected to help citizens to structure the allocation of CDBG funds in future years in conformity with community plans.

Staff Leadership in Structuring and Expanding Citizen Involvement

The initial phase of the process, the solicitation of citizen suggestions and proposals, has varied over the four years of CDBG. The staff leads in structuring the overall citizen participation process, and adjusts it each year to internal shifts within the county governmental structure and to changes in the communities. The staff has searched for new ways of involving citizens in the CDBG Program.

In the fourth year, the county staff took the proposed capital improvements plan to the four regional citizen meetings for comment within the normal CDBG citizen participation process. This expansion of citizen comment beyond CDBG funds increases overall citizen influence in the implementation of community plans.

Community Councils

Large population groups reside in various sections of the county with no local government structure between residents and the county. Some of these areas are populated by as many as 50,000 to 125,000 people. Fearing tax increases through incorporation, many areas have established elected community councils. Community councils are not official bodies and have no legal standing, but they are an attempt to provide an intermediate level of government. While some areas are served by active community councils, others have none. A current study by the Policy Development Commission is exploring the experience to date with existing community councils. Some officials and citizens feel that elected, but unofficial, community councils should be encouraged in the unincorporated areas of the county.

MADISON COUNTY

Southwestern Illinois

Location

Population: 250,900
6% nonwhite
Median income: \$10,249
7% below poverty level

Community
Socioeconomic
Profile: *

*Data on percent unemployed are not available for Madison County.

**County Board. Twenty-six-member board elected by district in
partisan elections. Chairman of the board elected by the board.**

Form of
Government

None

Previous Federal
CD Grants

4th year: \$3,855,000
3rd year: \$3,614,000
2nd year: \$2,195,000

CDBG Funding

Community Development Department
Ms. Mary Kane, Director
Court House
Edwardsville, Illinois 62025
(618) 629-4386

CDBG Program
Administered by

ILLINOIS

Citizen participation in Madison County is based on a system of interlocking citizen committees that encourages grass roots involvement but also prevents local factionalism. The three-tiered structure includes 48 local committees, five planning district committees, and a county-wide committee. Local committees generate and recommend proposals for their city or township. District committees review local proposals and determine which will be funded. Finally, the county-wide committee addresses the special needs that exist within the county.

BACKGROUND OF CITIZEN PARTICIPATION IN MADISON COUNTY

Located across the Mississippi River from St. Louis, Madison County includes urban, suburban, and rural communities. The urban segment of the county adjacent to the river is characterized by high population density and an older housing stock. It supports heavy (steel) as well as light industry. Suburban communities border the urban section and extend eastward along the primary highway leading out of the metropolitan area. Finally, the eastern region of Madison County's 734 square miles is prosperous farming country.

Prior to the CDBG Program, Madison County had no experience with federal community development efforts. The county lacked a participation structure that could be modified for the CDBG Programs and had few citizen organizations upon which to build an independent structure. As a result, it chose to use the 48 local government units within the county as the base for a citizen participation program. Together these cities and townships accounted for the complete land area and population of the county.

PROCEDURES AND STRUCTURES OF CITIZEN PARTICIPATION IN CDBG

Citizen Committees

Madison County uses a three-tiered citizen participation structure which was developed by Community Development Department staff during the first year of the CDBG Program. Local citizen advisory committees constitute the base level of the structure. Each city and township in the county is required to establish an advisory committee of no less than three citizens. These committees are appointed by the mayor of the city or township and serve in an advisory capacity to the local city or township council. Communities are encouraged to appoint individuals who are representative of citizens in the locality. Each community is required to submit a form to the Community Development Department certifying the sexual, racial and age composition of its advisory committee.

The structures and procedures of the 48 advisory committees are not specified by the Community Development Department and vary

significantly from community to community. Some committees work independently of the local council, formulating their own proposals, reviewing projects, and making formal recommendations. Other citizen committees work more directly with local officials. In some cases, they do not make an independent assessment, but meet jointly with the local council when proposals are being considered. Few local citizen advisory committees are involved in monitoring or implementation. The Community Development Department monitors the activity of the committees by requiring them to submit an account of each meeting they hold. In this manner, the Community Development Department ensures that each community has a functioning committee.

The second level of citizen participation consists of District Citizen Committees in each of the county's five planning districts. Each city and township selects two citizens from its advisory committee to represent it on the District Committee. The District Committees do not work independently, but meet jointly with the District Board. The District Board is composed of all mayors of the cities and townships located in the district. Together the District Board and citizens committees review and recommend the proposed projects that are submitted by the local communities. Citizens retain full voting membership on this joint committee and, in fact, constitute a two-to-one majority.

A county-wide citizens committee represents the third level of citizen involvement. This committee includes one citizen from each district committee and two citizens appointed by the County Board Chairman. This committee does not function independently, but works with the County Development Committee which is composed of the Board Chairman, another member of the County Board, and the chairpersons from the five District Boards. The joint committee reviews special applications for funding from local communities and conducts public hearings.

The Application Process

Madison County begins the development of its CDBG application five months before it is submitted to HUD. The process begins with a public hearing at which staff from the Community Development Department explains the requirements of the CDBG Program and discusses the process the county will use in developing its application. While open to all interested citizens, this hearing is oriented primarily toward local officials who have the responsibility for formulating projects. A second hearing to solicit citizen advice is held one week after the first hearing. At this hearing, citizens and local officials discuss community needs and suggest potential projects.

Cities and townships convene meetings of their citizen advisory committees and local councils after the two public hearings. Citizens and local officials meet jointly to develop proposals for their communities. According to the procedures

developed by the Community Development staff, each city or township may recommend two proposals to be reviewed by the county-wide committee. Special needs projects usually address urgent problems that require immediate attention.

Several meetings to consider proposals are held in each community. Most proposals are generated by the city or township, though in some cases citizens initiate proposals. Recommendations from citizens who are not members of citizen advisory committees are usually minimal. In all cases, citizen involvement is advisory and the responsibility for recommending proposals rests solely with the local council and mayor. The proposals recommended by the communities are forwarded to the Community Development Department which ascertains their eligibility under CDBG regulations. The department holds a county-wide public hearing at which proposals recommended by the local committees are discussed. This hearing affords communities the opportunity to voice support of the proposals they have recommended.

Almost two-thirds of the county's CDBG allocation is set aside to fund the proposals that are reviewed by the district committees. The allocation of monies to particular districts is determined by a formula based solely on poverty level. District committees are aware of the size of their allotments when they review proposals and do not exceed this amount in their recommendations.

Each district committee conducts several meetings early in the process to establish the priorities for its area (e.g., housing, sewer construction, parks). By establishing district priorities, the district committee encourages a consistent and integrated approach to the community development problems of the area. The local communities are informed of the district's priorities and are aware that the priorities weigh heavily in the evaluation of their proposals. The district committee reviews each proposal it receives. If modifications in a proposal are made by the committee, the changes are cleared with the community before a final decision is made. The committee then votes to recommend to the county board a set of proposals for its district's cities and townships which fits within its allocation.

The county-wide committee, composed of both citizens and elected officials, does not review the proposals that are recommended by the district.

Rather, its sole purpose is to assess the special needs projects that are developed by cities and townships. The special needs project proposals are initially reviewed by staff to ascertain eligibility. The county-wide committee then reviews the proposed special needs projects and approves a list of projects within the special needs budget allocation.

The recommendations of the county-wide and the district committees are presented for citizen comment at a public hearing. Staff has full responsibility for developing and recommending housing and county-wide projects that together account for 20 percent of the county's total CDBG allocation. These projects are also discussed at the public hearing. Following the hearing, the county board reviews the application. During the first three years of the CDBG Program, it has approved the application without modification.

EXEMPLARY ASPECTS OF CITIZEN PARTICIPATION IN MADISON COUNTY

Advisory Committees

Madison County has instituted a mechanism for citizen participation that encourages grass roots participation and avoids local factionalism. The local citizen advisory committees, while appointed, provide citizens with a vehicle through which they can influence the substance of local priorities and projects. The monitoring of the local committees by the Community Development Department is important because it ensures that representative committees are established and involved in the application process.

The joint district-level committees complement the local committees in several ways. At this level, citizens have greater influence because they constitute a majority of the joint committee members. Moreover, the joint committees are the point in the process when local interests are mediated. Here, representatives of cities and townships must compromise their local interests since no locality can dominate. The workings of such committees are characterized by a spirit of give and take that works to the benefit of all. Finally, the joint-district committees have virtually determined how they will use their allotment during the first three years. Citizens thus have maintained an influential role in the process.

Appendix A

Socioeconomic Characteristics of the Communities

Community	Population ¹ (1970) (000's)	% nonwhite ² (1970)	Median Family ¹ Income (1970)	% Unemployed ³ (7/1977)	% Families Below ¹ Poverty Level
Allentown, PA	110	2	9,658	6.5	6
Anchorage, AK	484	13	13,366	7.6	5
Asheville, NC	58	19	7,796	5.4	15
Atlanta, GA	497	52	8,399	8.2	16
Baltimore, MD	906	47	8,815	9.1	14
Birmingham, AL	301	42	7,737	7.0	17
Buffalo, NY	463	21	8,804	10.7	11
Cambridge, MA	100	9	9,815	6.9	9
Cincinnati, OH	452	28	8,894	8.8	13
Dade County, FL	1,268	16 ⁵	9,245	N.A. ⁶	11
Des Moines, IA	201	6	10,239	3.6	7
Flint, MI	193	29	10,161	10.4	10
Fond du Lac, WI	36	less than 1%	10,285	4.6	5
Fresno, CA	166	13	8,971	6.1	13
Jacksonville, FL	529	23	8,671	5.8	14
Jefferson County, KY	695	14	9,819	N.A. ⁶	9
Kansas City, KS	168	21	9,165	6.3	10
King County, WA	1,157	7	11,886	N.A. ⁶	5
Lincoln, NE	150	2	9,928	1.9	6
Madison County, IL	251	6	10,249	N.A. ⁶	7
Newton, MA	91	2	15,381	4.9	3
North Wilkesboro, NC	3	8	7,250	N.A. ⁶	16
Oakland, CA	362	41	9,626	11.7	12
Omaha, NE	348	11	10,208	3.9	7
Saint Paul, MN	310	5	10,544	5.6	6
Salem, OR	68	2	9,582	7.2	8
Spokane, WA	171	3	9,137	6.2	9
Tacoma, WA	155	9	9,537	7.9	9
Washington, NC	9	42	6,563	N.A. ⁶	25
Wilmington, NC	46	35	6,986	9.1	20
Winooski, VT	7	less than 1%	9,270	N.A. ⁶	11

¹From U.S. Bureau of the Census. *Census of the Population: 1970. General Social and Economic Characteristics. Final Report PC (1).* Washington, D.C.: U.S. Government Printing Office, 1972.

²From U.S. Bureau of the Census. *Census of the Population: 1970. Characteristics of the Population. Final Report PC(1).* Washington, D.C.: U.S. Government Printing Office, 1972.

³Official estimate for July, 1977 obtained from Local Area Unemployment Statistics Division Bureau of Labor Statistics, Department of Labor, Washington, D.C.

⁴By 1973, Anchorage's population had increased dramatically to approximately 197,680.

⁵Dade County estimates 35 percent of its population is of Hispanic origin.

⁶Not available.

Appendix B

SOURCES OF DATA USED IN THE CATALOG

The first page of each description provides summary information which may be of use to the reader. The page is divided into six sections:

LOCATION: This section gives the general location of the community within the state.

SOCIOECONOMIC PROFILE: This section is intended to give the reader a general overview of socioeconomic conditions in the community. In order to obtain comparable information for all communities, the data for population, percent nonwhite, median income and

percent below poverty level were taken from the 1970 Census (except where otherwise noted). Although this does not reflect the most recent socioeconomic shifts, the data give the reader an idea of the size, racial composition and economic conditions in each community relative to others included in the catalog. Where available, data on five socioeconomic indicators is reported:

(1) The 1970 population: obtained from the U.S. Bureau of Census. *Census of the Population: 1970. General Social and Economic Characteristics. Final Report PC(1).* Washington, D.C.: U.S. Government Printing Office, 1972.

(2) Percent nonwhite: obtained from the 1970 Census.

(3) Median family income: obtained from the 1970 Census.

(4) Percent unemployed: obtained from an official estimate for July, 1977 by the Local Area Unemployment Statistics Division, Bureau of Labor Statistics, Department of Labor, Washington, D.C.

(5) Percent below poverty level: obtained from the 1970 Census.

FORM OF GOVERNMENT: This section is intended to give the reader a general idea of the political and administrative characteristics of the city. Data was obtained from *The Municipal Year Book, 1976* published by the International City Management Association, Washington, D.C. as well as through conversations with local staff and officials.

PREVIOUS FEDERAL CD GRANTS: This section identifies the community's previous experience with federal community development grants and is an

indicator of its previous experience with citizen participation. Data for this section was obtained from *Community Development Block Grant Program Directory of Recipients: Fiscal Years 1975 and 1976 Appropriations* printed for the use of House of Representatives Committee on Banking, Finance and Urban Affairs by the United State Government Printing Office, December, 1977.

CDBG FUNDING: Data for this section was obtained from discussions with local staffs and from the United States Department of Housing and Urban Development publication entitled *Community Development Block Grant Program: Directory of Allocations for Fiscal Year 1977*.

CDBG PROGRAM ADMINISTERED BY: This section gives the reader a contact person in each community who may provide more detailed information on the community's citizen participation program.

Appendix C

METHODOLOGY

The 31 descriptions of citizen participation processes that appear in this catalog are the result of a research effort designed and performed by Lawrence Johnson & Associates, Inc. (LJA) of Washington, D.C. The project, originated by the Department of Housing and Urban Development, consisted of four phases: site selection, data collection, data analysis, and data review. All tasks were conducted by LJA technical staff. Advising the technical staff in many phases of the project was a ten-member User Advisory Group who represented potential users of the catalog.

Site Selection

The first phase of the project involved identifying 38 CDBG communities with exemplary and innovative citizen participation processes. The inclusion of only exemplary processes required that an informed, as opposed to a random, selection of sites be made. Thus, a site selection process was used which entailed obtaining and evaluating preliminary data on the citizen participation process in a number of CDBG communities.

Staff initiated site selection by inviting all communities receiving CDBG funds to submit information on their citizen participation programs. Notices and advertisements were placed in several nationally circulated community development publications. Letters were also sent directly to over 1,400 CDBG communities. Finally, staff telephoned communities which informed sources had identified as having exemplary citizen participation processes to encourage them to submit information.

These requests for information produced responses from 105 communities. Incomplete information and a preliminary evaluation led to the elimination of 17 communities. Staff prepared two- to three-page abstracts on the remaining 88 communities. The abstracts included background information on the community, a brief account of its citizen participation

process, an initial assessment of the representativeness of involved citizens, and an indication of the degree of influence exercised by citizens.

The abstracts served as the basis for site selection. The User Advisory Group reviewed the abstracts and ranked each community on a scale of one to seven. An average score for each community was then computed and all 88 communities were ranked. A meeting of the User Advisory Group was then convened in Washington, D.C., to discuss with project staff the rankings and final selection of sites. The size and regional distribution of the communities was taken into account to ensure that the sample was not skewed toward any particular type of community. The meeting resulted in the selection of 38 communities.

Data Collection

During the second phase of the project, one- to three-day site visits were made to each of the communities. LJA staff persons making the site visits received training on how to conduct individual and group conferences and were provided an outline of the types of information which needed to be obtained from each community. A formal data collection instrument could not be used given the variation among techniques, strategies, and administrative structures in the communities and the need to obtain specific and detailed information on exemplary activities.

Contact persons at each site, generally a community development staff member, identified respondents and arranged a schedule for conferences. At each site, staff conducted conferences with elected and appointed local officials, staff and involved citizens. Officials provided information on the policy of local government regarding citizen participation and the political context within which citizens were active. Conferences were held with community development and other staff to obtain specific information on the program and the citizen participation process. Finally, members of advisory groups and other involved citizens were

questioned concerning their involvement and influence in the program. At each site, staff held conferences with ten to 20 respondents in both individual and group settings. Pertinent documents and other recorded materials were collected and, where possible, meetings of citizens were attended.

Data Analysis

Staff identified the exemplary aspects of the citizen participation process at each site during the data analysis phase of the project. Two criteria were used to determine if a particular component of a process was exemplary. First, the component must have facilitated the meaningful involvement of local citizens in the CDBG Program. This criteria was flexible so that the variety of innovative techniques and strategies found could be accommodated. Second, the component must be replicable. As a sourcebook for other communities, it was important that the strategies and techniques described be potentially usable.

The data analysis was conducted following the site visits. Each member of the project staff made his or her

own evaluation. This was followed by a full staff evaluation where the citizen participation processes from all sites were compared and analyzed. Staff then used field notes and collected documents to prepare a description for each community visited. The descriptions were forwarded to contact persons or other individuals at the site for verification and comment. Inaccuracies and misrepresentations identified by communities were corrected. The User Advisory Group also submitted comments on the descriptions. In this manner, the descriptions presented in the catalog were carefully validated and reviewed prior to publication.

Data Review

During the first final phase of the project, HUD reviewed the 38 descriptions of participation processes. HUD deleted seven of the original 38 communities because of the size limitations of the catalog. While these communities had developed exemplary citizen participation processes, those processes were found to be less useful and unique than the processes reported in the 31 descriptions presented in the catalog.

Appendix D

ANNOTATED BIBLIOGRAPHY ON CITIZEN PARTICIPATION

A guide to meeting citizen participation requirements for community development. Washington, D.C.: National Model Cities Community Development Directors Association, 1975

This book discusses various mechanisms for citizen participation, stressing that the most workable and effective mechanism in a particular area is largely determined by population size, level of local government resources, and the number and type of existing citizen organizations. City-wide participation structures incorporate a broad range of community interests. In large cities however, they may prove difficult to organize and can require substantial staff and financial support. Neighborhood advisory committees lack the more comprehensive planning perspective of city-wide structures but can inform and stimulate the interest of area residents. Subcommittees and task forces which focus on specific issues can supplement neighborhood and city-wide groups. Public hearings and surveys must be carefully planned in order to produce more than cursory input. Cooperation, representativeness, staff and financial support, clearly defined responsibilities and lines of authority are key elements to a successful citizen participation process.

A planning guide for community development applications. For use by small and medium sized cities. Washington, D.C.: National Model Cities Community Development Directors Association, 1974.

Though the subject of citizen participation is not specifically addressed, this guide may prove useful to citizen groups as a primer for understanding CDBG Program applications. Citizen groups should also find it a helpful tool in developing informed proposals and alternative plans. It explains precisely what types of information should be included in the application and

how this information can be obtained and effectively presented.

The Brookings Institution. *Block grants for community development.* Washington, D.C.: United States Department of Housing and Urban Development, 1977.

The Brookings Report is the most complete analysis of the first-year CDBG Program to date. Data was collected on the first-year programs of a stratified sample of 62 grantee jurisdictions. Opportunities for citizen participation in the development of the application were provided by 57 percent of the localities in the pre-draft phase, 21 percent in the draft phase, and 55 percent in the draft review phase. Only 17 of the localities provided opportunities for participation at all three stages. In the vast majority of cases the citizen participation plan was devised by the local chief administrator or legislature. Four organizational types of citizen participation were distinguished: those that relied on public hearings only; those that included public hearings and neighborhood meetings; those that included public hearings and an advisory group; and those that had public hearings, neighborhood meetings, and an advisory group. Twenty of the localities in the sample made an extraordinary effort to involve citizens: Six communities provided citizens with technical or financial assistance and 12 circulated questionnaires. In 24 localities, officials met informally with citizen groups. This was found to be an important channel of participation in smaller areas. Overall, the report ranks 21 communities as having high, 20 as having medium, and 16 as having low levels of citizen influence. The report also concludes that while opportunities for participation and program benefits in earlier categorical programs were focused on low- and moderate-income areas, under the CDBG Program they have been more broadly distributed among the total range of income groups.

Brown, Raymond. *A time for accounting: The housing and community development act in the South*. Atlanta: The Southern Regional Council, 1976.

This report analyzes the operation of community development programs in southern cities during the first year of implementation of the Housing and Community Development Act of 1974. The evaluation includes a detailed look at citizen participation.

The report concludes that the CDBG Program produced mixed achievements during the first year. Many governments spent CDBG money in a manner that did not primarily benefit low- and moderate-income persons. Many communities fulfilled HUD requirements for citizen participation, but did not effect meaningful citizen involvement in the program. The report recommends that Congress and HUD formalize requirements to standardize citizen participation efforts to increase the influence of low- and moderate-income persons in the expenditure of CDBG funds. Further, the report calls for major efforts for capacity building in order to enable local governments to better utilize CDBG funds.

Browne, Edmond (Jr.) and John Rehfuss. Policy evaluation, citizen participation, and revenue sharing in Aurora, Ill. *Public Administration Review*, 1975, 35, 150-157.

This article describes the citizen participation strategy in Aurora, Ill., which is a city governed by a mayor and five commissioners. The mode of participation is a Revenue Sharing Committee of ten members (two appointed by each commissioner). The committee reviews all applications for revenue sharing funds and sends those proposals it supports to the commissioners for final approval. One of the consequences of this citizen review procedure is that more funds have been allocated toward social and health programs. Though the committee remains a relatively elite group it has encouraged greater participation on the part of community organizations and has enhanced the dissemination of information about the revenue sharing program.

Citizens action guide. Monitoring Community Development Block Grants. Washington, D.C.: Center for Community Change, 1975.

This pamphlet includes a brief description of the CDBG Program and an extensive questionnaire that can be used by citizens to monitor their communities' programs. The questions are grouped into three categories: (1) how CDBG applications are developed; how the grants are implemented; and the roles that officials, agencies, and citizens play in the process; (2) what types of projects receive funding and what types of individuals and neighborhoods they benefit; (3) how does the program comply with federal regulations. The questionnaire is designed to be used with chief executives, legislators, administrative officials, and community leaders.

Citizen involvement in community development: An opportunity and a challenge. Washington, D.C.: Center for Community Change, 1976.

This booklet is an essential resource, particularly for those citizens who are becoming involved in the CDBG Program for the first time. It stresses that citizens should understand the technical elements of the program and be sensitive to the political issues involved. Citizens are directed to first become fully informed about the program in their area by reviewing the application and informally discussing the program with local officials, agency staff, and community

leaders. Citizens should set priorities which weigh the needs of the community, the intentions of the legislation, and the probability of getting adequate support from officials and/or other community organizations. Practical suggestions are offered on how citizens can intervene in the decision-making process to introduce their own viewpoints and alternative proposals.

Chart book for plotting a local community development course. Washington, D.C.: National Association of Housing and Redevelopment Officials, 1975.

This is a useful guide to interpreting, applying for, and monitoring Community Development Block Grants. The first part discusses how the size of the grant for particular localities is determined under the 1974 Act. Explanations of basic formulae, hold-harmless, and discretionary grants are offered. The second part presents a model to be followed in applying for a grant. Thirteen stages are identified: (1) establish a community decision process; (2) initiate public information and a citizen participation program; (3) identify community development and housing needs; (4) set or (5) refine goals; (6) identify preliminary objections; (7) identify resources; (8) evaluate program feasibility; (9) review alternative programs and program rationale; (10) initiate public discussion; (11) prepare recommended program; (12) prepare application; (13) publicly present application. Finally, the performance standards and the monitoring procedures required by HUD are reviewed.

Community development monitoring report, Year 1976 findings. Washington, D.C.: National Association of Housing and Redevelopment Officials, 1976.

This booklet evaluates the first-year CDBG Program. Drawing from data on 86 grantees which were biased toward smaller communities, NAHRO found that 64 percent of the activities included in the program were conducted in low- and moderate-income census tracts. The types of activities that received the greatest proportion of the CDBG funds were: completion of Urban Renewal (22%), housing rehabilitation (19%), continuation of Model Cities activities (15%) and public facilities (12%). These statistics should not be interpreted as representative of the general population of grantees however because of the over-representation of small localities in the sample.

Cox, Fred, M., John L. Erlich, Jack Rothman, and John E. Tropman, eds. *Community-action planning, development: A casebook*. Itasca, Illinois: F. E. Peacock Publishers, Inc., 1974.

This sourcebook for community practitioners presents case studies of efforts to effect community change. Community change is categorized into three types: locality development, social planning, and social action. Locality development involves broad participation among community members to cope with the community's problems; the organizer's role is that of a facilitator. Social planning is a technical approach which relies upon experts to plan rational change. Social action is the organization of the disadvantaged to make demands for increased resources and social justice. Examples of each of these types of community change in American cities are discussed, and a thorough analysis of the role of the community practitioner is presented.

Eisemon, Thomas. Simulations and requirements for citizens participation in public housing: The Truax technique. *Environment and Behavior*, 1975, 1, 99-124.

The Truax technique is a simulation game that allows citizens to concretely identify their housing preferences. The game board consists of a grid in which the floor space of an apartment or house can be outlined. The game pieces to be used include space separators (walls, doors, windows), communal amenities (chiefly furnishings), work amenities (electrical appliances), and storage spaces (closets and cabinets). The subjects are first asked to place the pieces according to the way they are arranged in their own dwelling unit. Next they are told to construct what they feel the "ideal" dwelling unit would be. Finally they are asked to remove those pieces that they would be willing to sacrifice given budgetary constraints. The board is photographed at each stage. The participants meet after they complete the game to discuss their decisions. The technique may be more reliable than survey techniques, particularly with low-income groups.

Downs, Anthony. HCDA: Getting people into the act. *Planning*, January 1975, 41, 12-14.

This article discusses the importance of citizen participation for effective utilization of CDBG funds. The citizen participation process should be used to "leverage" large amounts of community development resources from the private sector. The way in which the citizen participation process is structured in each city can greatly influence which neighborhoods within a city will receive funds.

The article recommends a model citizen participation structure, organized at both the city-wide and neighborhood level. The author states that community development planning and action must be seen as an ongoing process rather than as a one-time event.

Federal Regional Council. *Citizen participation*. Washington, D.C.: Community Services Administration, 1978.

This volume contains information on requirements for citizen participation in federally-assisted programs. The programs are categorized according to the department or agency which administers them. A general description of each program is included with citizen participation requirements identified. The book's introduction outlines considerations for effective planning and implementation of citizen participation processes.

Ginsburg, Robert L. Second-year CDBG experiences. *Journal of Housing*, 1977, 2, 80-83.

This article presents the preliminary findings of the National Association of Housing and Redevelopment Officials (NAHRO) project monitoring of second-year CDBG. Data is presented on a stratified sample of 149 CDBG entitlement cities. The NAHRO study found that the amount of funds allocated by local communities for the elimination of slums and blight dropped from 34 percent in the first year to 17 percent in the second year. When the allocation of monies by census tract was examined, 51 percent went to low- and moderate-income tracts in the first year while only 44 percent went to such areas in the second year. Some 18 percent of CDBG monies went toward rehabilitation and improving public facilities in the second year, a 7 percent increase over the first year. CDBG funds were more widely dispersed among census tracts during the second year.

Goldberg, David. *A guide to citizen-based planning for suburbs, small cities and towns*. Prepared by the Citizen Involvement Network (Unpublished, July 1977, U.S. Department of Housing and Urban Development. Contract No. H-2556.

This paper defines citizen-based planning as the involvement of a large and broadly representative group of people in charting the future course of the community. This guide is designed to assist private citizens or public officials who wish to initiate such a planning process. The process is outlined step-by-step from building credibility and visibility to taking the public pulse to finally making things happen. The guide includes several samples of surveys which have been used in citizen-based planning. Citizen groups are encouraged to get professional staff support from local colleges, universities, businesses or voluntary organizations.

The guide concludes with an excellent resource section which includes listings of relevant organizations, general background readings, and readings on specific issues.

Griefer, Julian L. (ed.). *Community action for social change: A casebook of current projects*. New York: Praeger, 1974.

Descriptive case studies are presented on a variety of community development programs. One section of the book is devoted to federally sponsored and other citizen participation strategies. The case studies present some useful examples of the origins and development of citizen participation programs.

Hatry, Harry P. and Louis H. Blair. Citizens surveys for local governments: Cop-out, manipulative tool, or a policy guidance and analysis aid. *Policy and Politics*, 1976, 4, 129-140.

Two types of citizen surveys are identified: those that monitor citizen support for current or proposed programs and those that collect basic information on citizen needs to be used in program planning. One advantage of using surveys is that they provide information on preferences and needs. However, the problems encountered in conducting an adequate survey are considerable. Low-income and minority citizens are often difficult to locate. Mailed surveys tend to be unrepresentative because of their low return rate. Furthermore, citizen evaluations in surveys are often unreliable because many respondents lack sufficient information. The various problems that accompany this technique demand professional assistance.

Johnson, Carl F. *A study of city-wide citizen participation in ten cities*. Washington, D.C.: The National Citizen Participation Council, Inc., 1975.

This book presents data from interviews and questionnaires on the transition from neighborhood participation under the Model Cities program to community-wide participation under the CDBG Program in nine cities and one county. The factors that were found to facilitate continued citizen participation were: a clear understanding of the relationship between citizens and the chief executive; adequate resources for staff, training and technical assistance; access to the chief executive; and adequate time to permit planning by citizens. While citizens' initial reaction to the transition was characterized as negative, the author concludes that new boards were established without significant conflict, change in representation, or loss of citizen power.

Marshall, Patricia (ed). *Citizen participation certification for community development*. Washington, D.C.: National Association of Housing and Redevelopment Officials, 1977.

This is a superior collection of articles covering the gamut of citizen participation issues and strategies in a readable style. Noteworthy are Andrew Mott's piece on the future of citizen participation in community development and Judy Rosener's informative analysis of various citizen participation strategies. Conventional strategies, such as public hearings, committees, panels, information programs, and surveys are discussed. Less traditional techniques such as hot lines, ombudsmen, charettes, media participation techniques, and game simulations are also included.

McManus, Michael J. Creating 20th century town meetings. *National Civic Review*, January 1975, 64, 9-13.

This article outlines modern town meetings in the Chicago and Roanoke metropolitan areas. In each area, a television show was presented which showed a variety of policy options on controversial public questions. Ballots were published in newspapers so that citizens could choose one of the policy options. Groups of citizens met to discuss the options before casting their ballots. Chicago's project, which was run by an umbrella civic group, supported the creation of a rapid transit authority. In Roanoke 12,000 ballots were cast, based on a series of television shows. The article outlines the steps necessary to create such a town meeting, including finding an institution to sponsor the meeting, drafting and reviewing background papers, and mobilizing citizens to participate.

Morris, Milton D. *New federalism and community development: Preliminary evaluation of the Housing and Community Development Act of 1974*. Washington, D.C.: Joint Center for Political Studies, 1976.

This article describes the features of the Housing and Community Development Act of 1974 with particular emphasis on the CDBG Program. It also assesses the consequences of the "New Federalism" for minority group interests. Because responsibility for the program lies with the local jurisdiction, the traditional techniques of asserting minority group interests at the federal level have lost their effectiveness. Thus, minorities must focus their efforts at the local level by developing effective citizen participation strategies. Because participation is broadened under the act to include all the residents of the city or county and not simply those living in areas where the funds will be spent, the influence of minorities and low-income groups is lessened. The author suggests that early in the process citizens help develop a participation program that will involve them in all phases of the development and implementation of the plan. Citizens should identify those community needs that may be eligible for funds; make sure that complete information on funds and timetables is made available; insist on adequate public hearings; make sure that local citizen participation reports submitted to HUD are accurate; and contact HUD if the local governments fail to allow for adequate participation.

Padrow, Ben. Public hearings, public officials and the hot seat. *Nation's Cities*, February 1974, 12, 18-19.

This article specifies what must be done if a public official wishes to have a successful public hearing. Pre-hearing preparation for officials is urged. Hearing

procedures, time limits and agendas are discussed. Finally the article suggests appropriate activities for public officials involved in public hearings such as taking detailed notes, asking effective questions, summarizing arguments, and making sure all parties get a chance to speak.

Poston, Richard W. *Action now: Citizen's guide to better communities*. Carbondale: Southern Illinois University Press, 1976.

This volume is a textbook for citizens in small towns and cities in rural America who wish to work towards better communities. The author urges citizens to set as their ultimate goal "the development of your community into an effective problem solving citizenry."

The author describes the "organizational machinery" necessary to work towards effective problem solving: a community-wide citizen group, a series of fact-finding committees and a series of administrative committees. The author specifies operational details for the community-wide body. He suggests that all meetings should be open to the public, the group should meet regularly, and attendance should be required. He recommends choosing fact finding committees on the topics of industrial development, retail trade housing, education, libraries, health, recreation and history. The author suggests specific questions which should be researched by each committee.

Rodgers, Joseph Lee, Jr. *Citizen committees: A guide to their use in local policymaking*. Cambridge, Mass.: Ballinger Publishing Company, 1977.

This guide has been prepared to assist mayors and other city officials as well as private citizens who are responsible for creating or participating in citizen committees. This brief book gives a thorough presentation of the general structures and functions of citizen committees.

The author outlines some general principles which must be followed if a citizen committee is to be successful. He states, for example, that the scope of the committee's work should be clearly defined, the committee should be provided with adequate resources and meetings of the committee should be open to the public.

The largest chapter of the book (chapter 5) characterizes committee types. Administration, advisory, minority participation, preparative, goals, citizen planning review, and special purpose committees are explained and illustrated. Illustrations refer to recent successful examples of the type of committee being discussed.

Two appendices conclude the book. Appendix A is a pull-out summary chart which lists each type of committee by purpose, size, composition, creating agencies, duration of service, method of membership selection, constituencies, and resources needed. Appendix B lists model bylaws used by a successful community council in Oklahoma.

Sloan, Allen K. *Citizen participation in transportation planning: The Boston experience*. Cambridge, Mass.: Ballinger, 1974.

This is a case study of citizen participation in a planning study to review an extensive highway construction project in the Boston area. Citizens were provided with their own technical staff that remained independent from the official planning staff. Instead of instituting a committee to represent citizen interests, it was decided that open and well-advertised public hearings would provide a more adequate forum in

which diverse citizen opinions could be fully aired. The technical staff presented its findings at these meetings and responded to citizen input. Workshops were also held to cover specific issues. The author concluded that there are five essential features in structuring a citizen participation process. First, the issues and decisions to be made must be fully identified and the commitment of the decision makers to a participatory process secured. Second, a timetable and work procedure should be established. Third, parties which may have a vested interest in the program should be identified and encouraged to participate. Fourth, the specific method of participation should be decided on. Finally, adjustments should be made in the process as needed.

Stewart, William H., Jr. *Citizen participation in public administration*. Birmingham, Alabama: Birmingham Publishing, 1976.

The major issues in citizen participation are reviewed. A summary of the literature and the author's own informal observation of citizen participation serve as the basis of the discussion. The author discusses various forms of citizen participation including public hearings, advisory committees, ombudsmen, community action boards, and little city halls.

The pros and cons of citizen participation are presented. Perhaps most helpful is the discussion of citizen surveys and goal identification programs. Those factors contributing to successful citizen participation are analyzed. While little original material is presented, the author provides an understandable review of the more important findings in the field.

United States Department of Housing and Urban Development. *Community Development Block Grant Program: First annual report*. Washington, D.C.: Department of Housing and Urban Development, 1975.

A very brief section of this report on the CDBG Program describes the role of citizen participation during the first year of the program. Data is presented from a survey of 880 cities. Of the various factors that affected the development of the CDBG application (such as comprehensive plans, consultant recommendations, prior HUD grants), 45 percent of the responding communities ranked citizen participation as the most influential. When asked to compare citizen participation in the CDBG Program with that in earlier categorical programs 75 percent of the cities indicated that it had improved.

United States Department of Housing and Urban Development. *Community Development Block Grant Program: Second annual report*. Washington, D.C.: Department of Housing and Urban Development, 1976.

This second-year report of the CDBG Program includes a substantial chapter on citizen participation. Data was gathered from 725 entitlement cities, HUD regional staff and 33 citizen participation leaders. Eighty-eight percent of the cities sampled were found to have complied with the citizen participation requirements of the program and 25 percent had instituted programs that had gone beyond the minimum requirements. All cities used public hearings and 81 percent claimed to have established advisory committees. The vast majority of participants on the advisory committees were appointed by public officials. A majority of the citizen leaders interviewed felt that low- and moderate-income individuals were at least "fairly" represented. Thirteen percent of the city officials thought that the

citizen advisory committees were useful in planning the second-year application. The most influential groups in preparing the application were local business persons (47%) and consultants (34%). The greatest degree of citizen influence was exerted at the planning stage, as opposed to the decision-making or implementation stages. In general, citizen participation was found to be an important though not a predominant factor in determining program content.

United States Department of Housing and Urban Development. *Community Development Block Grant Program: Third annual report*. Washington, D.C.: Department of Housing and Urban Development, 1978.

The citizen participation chapter in the Third annual report of the CDBG Program presents the results from a special study of 40 representative cities conducted by the National Citizen Participation Council under contract to HUD. The study generally substantiates and refines findings from the more extensive survey of CDBG participants conducted for the previous year's program evaluation. The chapter provides a in-depth analysis of the relationships between techniques used to encourage citizen participation, levels of citizen involvement experienced by different types of cities and qualitative measures of the effectiveness of citizen participation, as discerned by 139 city officials and 494 citizens interviewed. The study reveals that while all of the sample cities were satisfying minimum citizen participation requirements, there was wide variation in performance levels. Information for low- and moderate-income households and other citizens was judged to be adequate or complete in 85 percent of the 40 cities. Staff time was devoted to technical assistance for citizens in 60 percent of the cities studied. Almost 75 percent of the sample cities had established citizen advisory committees for CDBG review. Larger cities were found to be more effective in informing citizens of an encouraging participation in CDBG reviews. In 80 percent of the cities surveyed, most of the budget activity had been prepared or approved by citizens. The study indicated that citizen input was typically confined to program development, with little citizen involvement in implementation and monitoring. Citizens were generally satisfied with citizen participation provisions in most cities, although citizens were dissatisfied with the process in a significant minority of cities (38 percent).

United States Department of Transportation. *Effective citizen participation in transportation planning* (2 Vols.). Washington, D.C.: U.S. Government Printing Office, 1976.

The focus of these two volumes is on citizen participation in transportation planning, though much of the discussion is also pertinent to citizen involvement in other areas. Of particular interest is the inventory of citizen participation techniques that is included in Volume II. The techniques are categorized by function: information dissemination (public information programs, meetings), information collection (surveys, public hearings), initiative planning (advocacy planning, task forces, community planning centers), reactive planning (citizen advisory committees, neighborhood meetings), decision-making (referendum, citizen review board), and participation process support (citizen employment and training). The advantages and disadvantages of each strategy are discussed along with costs, potential for resolving issues, and current utilization in various programs. A short bibliography on each strategy is also presented.

Witte, William. Community development's third year: A report on trends and findings of NAHRO's CD monitoring project. *Journal of Housing*, February, 1978, 66-72.

This article summarizes and analyzes data which NAHRO collected from 115 standard metropolitan statistical area entitlement grantees. The data, collected from a mailed questionnaire, provided information on the effectiveness of the communities' implementation of their CDBG Programs. NAHRO found that 53.9 percent of the communities sampled spent less than half of their second-year CDBG

money. Cities and counties which budgeted relatively large portions of their grants for complex activities such as land acquisition or rehabilitation, experienced the most difficulty in spending their money. Although nearly two-thirds of the cities reported that they had "leveraged" some public or private funds with their CDBG monies, most of their money came from state or federal sources. NAHRO's data indicate that CDBG planning is focused on short-term public works and physical improvement activities rather than long-term housing or economic development.

Appendix E

GLOSSARY

COMMISSION—A form of government where commissioners assume responsibility for administrative functions, such as public works, while also serving as the legislative body.

COMMUNITY ACTION PROGRAM—An anti-poverty program begun under the Equal Opportunity Act of 1964 which provides grants to state and local community action agencies. Administered by the Community Services Administration, it is intended to help focus all available local resources to provide opportunities for low- and moderate-income families and individuals.

COMMUNITY DEVELOPMENT CORPORATION—A nonprofit corporation organized by citizens or city officials for the purpose of using federal, state, local or other grants to implement community development projects, such as housing rehabilitation or counseling programs.

COUNCIL-MANAGER—A form of government in which the council serves as a legislative body and a manager assumes administrative responsibilities.

DISCRETIONARY GRANT—CDBG grants which local communities compete for against other communities in a designated area.

ENTITLEMENT GRANT—CDBG grants which are determined by an objective needs formula.

GENERAL REVENUE SHARING—The return of a lump sum portion of federal revenue to local governments for general budgetary use based on a general formula. The program began in 1972 and is administered by the Treasury Department.

HOLD-HARMLESS GRANT—CDBG grant that makes up the difference between entitlement funds and those funds that would have been received under earlier categorical grant programs.

MAYOR-COUNCIL—A form of government in which the mayor is the chief executive and a council serves as a legislative body.

MODEL CITIES—A HUD program begun in 1966 and superseded by CDBG. This program assisted cities in implementing comprehensive programs attacking the social, economic and physical problems of blighted neighborhoods. Citizens were involved in planning, monitoring, and evaluating the program at the local level.

NEIGHBORHOOD DEVELOPMENT PROGRAM—A HUD program begun in 1968 and superseded by

CDBG. This program modified the urban renewal program to permit more rapid and flexible execution of urban renewal plans within specified neighborhoods.

NEIGHBORHOOD FACILITIES—A HUD program begun in 1965 and superseded by the CDBG Program. This program provided development grants for neighborhood health, welfare, educational, cultural, social, recreational, or similar community service facilities.

NOMINAL GROUP PROCESS—A planning process in which participants suggest and evaluate proposals in small groups before making final selections as a full group. The process encourages involvement by controlling the influence of aggressive group members and creating a nonthreatening atmosphere.

OPEN SPACE—A HUD program begun in 1970 and superseded by the CDBG program. This program was intended to encourage aesthetic urban development by providing for recreational, conservation and scenic areas.

PLANNED VARIATIONS—An experimental HUD program begun in 1971, it created specific variations in the administration of the Model Cities Program in 20 cities. One important variation was the expansion of Model Cities plans and programs to cover slum and blighted areas throughout the city.

PROJECT AREA COMMITTEES—Citizen advisory committees formed under the Urban Renewal Program to involve citizens in the planning of redevelopment projects.

TARGET NEIGHBORHOODS—Neighborhoods where a relatively substantial amount of community development funds are concentrated to retard or abate extreme blight and deterioration.

URBAN RENEWAL—A HUD program begun in 1949, and superseded by the CDBG Program. This program was designed to eliminate blight in urban areas.

WATER AND SEWER—A HUD program begun in 1965 and superseded by the CDBG Program. This program was designed to finance land and construction costs of basic public water and sewer facilities, excluding sewage treatment.

WORKABLE PROGRAM—A requirement of the 1954 Housing Act that communities applying for urban renewal and related development grants and loans prepare a plan specifically indicating the manner in which they expect to use the funds to reduce or eliminate slums and blight.

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